# Abu Dhabi Polytechnic

# Policies and Procedures Manual

**September 2017**

INSTITUTE OF APPLIED TECHNOLOGY

# SECTION 0 - INTRODUCTION

## 0.1    Table of Contents

## 0.2    Document Revision History

*Document name: Abu Dhabi Polytechnic Policies and Procedures Manual*

| Release # | Date | Revised by and reason for revision | Approved by | Approval Date |
|---|---|---|---|---|
| Rev 0 | | | | |
| Rev 1 | | | | |
| Rev 2 | July 2013 | Addition of Staff Academic Policies (Revised by Effectiveness and Assessment Manager) | | |
| Rev 3 | Nov 2013 | 1. Removal of small organization chart on page 14 and insertion of 6-page organization chart on pages 303-308<br>2. Clarification of separate Appendices documents in Index on page x.<br>3. Section 5 - Remove 'appropriate Appendix' and insert Abu Dhabi Polytechnic Health, Safety and Emergency Policy and Procedures Manual.  Insert Abu Dhabi Polytechnic Health, Safety and Emergency Policy and Procedures Manual in lieu of Abu Dhabi Polytechnic Health & Safety Policy Manual.<br>4. P94 Consolidate Admissions Requirements with Student Handbook, and General Catalogue<br>5. P210 Include section on Class size<br>6. P296 Update Academic Workload Policy | | |
| Rev 4 | Jan 2014 | Update of Committee Structure pages 151-169 | ADP Director | Dec2013 |
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| Rev 6 | Nov 2016 | Change reference to semester system to semester system | Joint Academic Committee | Nov 2016 |
| Rev 7 | Aug 2017 | Added the following policies:<br>1.15 Multiple Campus Policy<br>12.15 Independent Study Policy<br>12.16 Research Policy<br>12.17 Community Engagement Policy | Manager Assessment and Effectiveness | September 2017 |

## 0.3    Foreword

The **Institute of Applied Technology (IAT)** was founded in 2005 through a Royal decree of His Highness Sheikh **Khalifa Bin Zayed Al Nahyan**; President of the United Arab Emirates, a corporate body will full financial and administrative independence. The establishment of the IAT was an initiative of General Sheikh **Mohamed Bin Zayed Al Nahyan**; Crown Prince of Abu Dhabi. His Highness envisioned IAT as a world class Career-Technical Education system that would produce the scientists, engineers and technicians needed for the UAE to build a knowledge-based economy. IAT is a dynamic organization which includes senior secondary schools, vocational education and training establishments, colleges, academies and other learning units. Abu Dhabi Polytechnic also has a significant responsibility on behalf of the Abu Dhabi government to conduct special projects and educational activities that meet the strategic plans.

To achieve the objectives handed down to it by the Abu Dhabi Executive Council, the IAT relies on best practice teaching and learning processes underpinning a modern curriculum, conducted in state-of-the-art facilities. The aim of the IAT is to create the scientific and professional leaders of the future; therefore the Institute, its facilities and its outcomes are continually expanding and evolving as the needs of the Emirate and the nation evolve.

This Policy and Procedures Manual describes those policies applicable to all directorates and entities which collectively are known as the Institute of Applied Technology. Policies and procedures relevant only to schools, colleges, projects or branches of the IAT are attached to this Manual to meet specific accreditation purposes.

**Abu Dhabi Polytechnic** (Abu Dhabi Polytechnic) strictly follows these policies and the IAT Manual is therefore the basis for Abu Dhabi Polytechnic's Manual with differences arising from semantic differences particular to Abu Dhabi Polytechnic. The funding for Abu Dhabi Polytechnic is provided by the Abu Dhabi Education Council (ADEC) in compliance with the IAT's agreements and as a result the policies included in this *Manual* are observed by the Abu Dhabi Polytechnic. Abu Dhabi Polytechnic does not have its own separate Human Resources or Finance departments, therefore relevant references will be made throughout the Abu Dhabi Polytechnic programme accreditation submission to IAT policies.  Abu Dhabi Polytechnic has developed its own policies complementing the Manual, in order to meet the requirements of the *MOHESR Standards 2009* requirements.

# SECTION 1 - GOVERNANCE AND MANAGEMENT

## 1.0 Introduction

The Institute of Applied Technology is a corporate body created in 2005 under the direction of His Highness Sheikh Khalifa Bin Zayed Al Nahyan, President of the United Arab Emirates and Ruler of Abu Dhabi. The authority for the creation of the Institute as a body with full financial and administrative independence is Emiri Decree No 32 of 2005. This decree lays out the legal status of the Institute and its responsibilities as an entity wholly owned by the Abu Dhabi government. A copy of the Emiri Decree is held in each school, campus and directorate and is available to all staff.

This section provides details of:

- The role of the Board of Trustees.
- Board meetings and decision-making.
- Committees of the Board.
- Conflict of interest.
- The role of Board Coordinator.
- Planning processes.
- The election of the Board, the Annual General Meeting, Annual Report, compliance with the Emiri Decree 32 of 2005.

## 1.1    Role of the Board of Trustees

The role of the Board falls into three areas:

- Organizational management and governance
- Policy

### 1.1.1    Organizational management and governance

Under the Emiri Decree 32 of 2005 the Board is the highest authority within the IAT and reports directly to the Abu Dhabi government. The Board is responsible for setting up the general policies of the IAT, running its affairs, and carrying out any actions necessary to ensure that the IAT is capably managed, achieves the objectives laid out for it in the Emiri Decree 32, and approving policies and procedures relevant to the education and training courses run by the Institute and the qualifications achieved by students of all of the entities under the IAT.

The Board is also responsible for setting the Strategic Agenda for the IAT and monitoring compliance with the plans and policies created to achieve it.

The Board is made up of a minimum of nine members, including chairman and vice chairman, who retain their position for a maximum of five years. They appoint, and monitor and evaluate the performance of, a Director General responsible for the effective and efficient management of the Institute.

An Executive Committee of the Board has responsibility for the day to day monitoring of the Institute's activities and the approval of purchases outside of the Director General's delegated authority. This committee reports to the Board at its monthly meeting.

The Board recognizes that the management of the Institute and implementation of its policies is the responsibility of the Director General. In relation to submissions for funding the Director General, in consultation with the chairman of the Board, may approve funding above the Director General's delegated authority up to an amount nominated by the Board from time to time. For larger projects Board approval is necessary.

### 1.1.2    Policy issues

The role of the Board in regard to policy issues is as follows:

- The determination and setting of priority policy areas concerned with the implementation and management of the IAT Strategic Plan.
- Defining and approving the Institute's involvement with projects beyond the remit given in the Emiri Decree 32 of 2005, and the means for addressing issues which may arise from such involvement.
- Approving new policies or amendments to existing ones.
- Determining the appropriate response to issues arising outside of the Institute's current policies or practices and providing the appropriate resources and levels of decisions for the Institute to adequately and efficiently address them.

Policy issues are generally brought to the Board for one of following purposes:

- For Board information only – the submission is purely to inform the Board.
- For Board discussion – the issue is raised with the Board in order to –
  - Allow for a discussion of the matter and set the context for future action concerning the policy issue;
  - To ascertain the degree of support for the matter;
  - To provide ideas, suggestions and/or recommendations for future action by staff of the IAT; or

- To make the Board aware of the issue.
- For Board decision-making – the issue will be presented along with a discussion of the matter, options for the Board to consider, and a recommended resolution to the issue. The Board may or may not accept such recommendations, and should it not be accepted the Board will either present its own recommendations or refer the matter for future investigation.

In each instance information will be presented to the Board in the agreed format. Policy issues may be raised for consideration or discussion by staff of the Institute, through their appropriate management team, or Board members. Where issues cannot be satisfactorily addressed at the local level, and they are determined to be of significant importance to a broader audience, they may be raised directly with the Board as either an issues item (including options and recommendations) or as a grievance. Items to be raised with the Board should be sent to the Secretary to the Board of Trustees for placing on the agenda.

### 1.1.3      Board representation

Board members may also be approached by IAT staff seeking their expertise or advice on personal matters or issues relevant to the staff member's area of responsibility. In such cases the Board members must ensure that they are offering advice in their personal capacity, not with the authority of the Board unless such authority has first been delegated by the Board or the Executive Committee. The Board members must also be aware that issues may not be satisfactorily resolved through personal intervention resulting in a desire to escalate them to the full Board. At this point the Board members must step back from the issue and resume their responsibility as members of the Board of Trustees.

Board members may speak to staff with the authority of the Board, but formal approaches to the Board members must be through the Secretary to the Board of Trustees.

#### 1.1.3.1      Representing the IAT in the media

From time to time members of the Board may be called upon to represent the Institute at meetings or conferences. There may also be calls upon Board members or officers of the Institute to provide comments to the visual or written media. In all cases the relevant Board or staff member will be appointed by the Board.

Although it will normally be appropriate for the Chairman of the Board to make any comments to the media, he may delegate this responsibility to others depending on the nature of the enquiry and the area of expertise of the staff members to whom this responsibility is to be delegated. It is important, however, that the staff members bear in mind that they will be offering comments only from their area of expertise or responsibility, not for the IAT as a whole and not with the authority of the Board of Trustees. All enquiries regarding areas outside of the staff member's area of expertise or responsibility must be referred back to the Board for either response or delegation to another staff member.

#### 1.1.3.2      Representing the IAT on committees

Board members may be asked to represent the IAT on external committees or consultative forums. Such representation may take place in accordance with the following principles:

- Representation on a statutory or governmental committee is to be decided by the Board.
- Invitations to nominate a Board representative may be presented through the Chairman of the Board who will seek nominations from other Board members.
- Invitations to nominate an Institute staff member are considered by the relevant director in consultation with the Chairman of the Board.

## 1.2    Conflict of Interest

With the broad range of professional and personal interests pursued by senior managers and Board members there is likelihood that conflicts of interest may be encountered when participating in the Institute's decision making processes. Typical issues around which conflicts of interest may arise include the following:

- The recruitment of staff or employment of contractors.
- Undertaking projects or entering into partnerships.
- Representing the Institute in other forums.

A conflict of interest can be said to arise if:

- It is likely that the performance of the individual's duties as a Board member could be prejudicially influenced by any other interests (private, personal or professional) that person may have; or
- It is likely that the Board member's participation as a member of the Board is prejudicially influenced by the interests of the organization the member is representing.

Abu Dhabi Polytechnic expects that Board member will be mindful of potential conflicts of interest (or the likely perception of a conflict), and declare a conflict of interest before it arises. Appropriate action can then be taken in consultation with other Board members, for example by withdrawing from a particular selection panel or declining to take part in decisions being taken regarding certain issues.

Minutes of meetings should note where, when and by whom such declaration of real or potential conflicts of interests are made. The Secretary to the Board of Trustees should be mindful of the need to not forward the minutes of meetings to Board members who have declared such a conflict if the matters which might cause such a conflict are detailed therein.

## 1.3    Nomination to the Board

The process for the nomination of members to the Board, the appointment of office bearers and their remunerations are detailed in the IAT By-Laws. Staff members seeking clarification or further information should consult this document.

## 1.4    Annual General Meeting

The purpose of an Annual General Meeting (AGM) is to present to members of an organization reports on its operational and financial position. This allows the members to evaluate the effectiveness of their representatives (i.e., their Board members) in achieving what they stated they would achieve at the previous AGM. Future plans can also be discussed and the support of the members to these plans sought.

Abu Dhabi Polytechnic is not structured in such a way as to have voting or fee-paying members as its key stakeholders. It does, however, have a number of people and entities with an interest in the progress of the Institute towards the achievement of its responsibilities under the Emiri Decree upon which it was founded, its strategic and business goals and cost and resource effectiveness in pursuing them.

To this end an annual meeting is to be held coinciding with the end of the academic and financial years, the purpose being to finalize the financial, academic and planning year, evaluate the Institute's activities for that period, and make preparations for the forthcoming period. It is also an opportunity for the Board of Trustees to consolidate the achievements that have been made over the preceding 12 months and present options for the future.

The Board should meet in full to accept a report from an appointed auditor as to the state of the Institute's financial affairs. It should also receive and discuss the Institutional Effectiveness Reports from each directorate and make plans for overcoming any gaps between where the Institute, or its entities, had planned to be and where it actually is in relation to its Strategic and Business plans. The meeting should also adopt any recommendations regarding new initiatives and amendments to existing plans.

## 1.5    Board Meetings

A meeting of the full Board occurs monthly or more frequently to address issues requiring earlier decisions. At each meeting a quorum of no fewer than four members is required for decisions that are binding on the Board as a whole.

At its meetings the Board has adopted the following procedures in order to ensure effective decision making at Board meetings.

### 1.5.1    Agenda planning

The Secretary to the Board of Trustees and the Chairman of the Board discuss and finalize the agenda for each meeting in order to:

- Decide which issues are to be addressed as discussion, decision, or information only.
- Priorities the order of the items.
- Ensure that the issues to be discussed or addressed are clear and contain sufficient information to achieve the desired outcome.
- Allocate a period of time for each item.

Board members should be encouraged to notify in advance the Secretary to the Board of Trustees about any issues they wish to include in the agenda and any items (reports etc.) which must accompany them.

### 1.5.2    Structure of meetings

The following approach to meetings will be followed to ensure that each Board meeting is productive and achieves the desired outcomes:

- The agenda is prepared and sent to all Board members in sufficient time to consider the items to be addressed and prepare themselves for the meeting.
- The agenda clearly identifies non-discussion items, items for decision, items for discussion and items for information only.
- Time is allocated at the beginning of each meeting for discussion about the agenda and agreement to its structure or any changes that need to be made. This is particularly important where a Board member identifies an item which may require longer attention than the time allocated to it.
- An agreement should be reached that if an item is not on the agenda then it will not be discussed at this meeting. New items should be placed on the agenda at the beginning of the meeting (if there is sufficient time), proposed for addition during the meeting (and voted on), or be placed on the agenda of a separate meeting. If the item is important but does not require more than a quorum to discuss and vote on, then it could be deferred until after the agenda is completed with only the proponent and sufficient members to make up a quorum remaining behind to discuss it.
- Items for the next agenda are identified at the end of each meeting.
- Meetings are chaired by the Chairman of the Board or the Deputy-Chairman.

### 1.5.3    Decision-making in Board meetings

In order to be clear about decisions made by the Board, and to capture decisions and outcomes of Board meetings:

- The minute taker may request that decisions be clarified or confirmed.
- A register may be established in which all decisions made by the Board are recorded, along with the name of those members addressing or managing the issue and any timeline agreed for their completion.
- Decisions are, where appropriate, passed on to Institute staff members who initially put forward an issue for action by the Board, or who will be concerned with addressing or managing the issue once the decision by the Board has been made.

### 1.5.4    Board papers

Papers presented to the Board will usually include:

- Minutes of previous meetings.
- Minutes of the meetings of sub-committees or working groups.
- Financial reports.
- Institutional Effectiveness Reports.
- Papers and other items provided for discussion and/or decisions.
- Papers and other items presented for information.

Papers should contain all of the information required by the Board for open discussion, clear analysis and effective decision making. They should indicate the action desired of the Board by the paper's author or proponent, for example whether they are for the information of the Board or for discussion and/or decision making.

Papers should also be circulated in sufficient time for Board members to read and consider their contents, and make any preparations prior to the meeting, which will enable them to contribute to the discussions or decision making process. Board members should never be presented with papers or items that are incomplete, are not understandable, or which do not indicate what the author or proponent wishes them to do about the issue.

### 1.5.5    Reports

Reports presented to the Board will take the following forms:

- Routine – reports that are prepared monthly by directorates. These are scheduled reports which provide an overview of progress towards predetermined objectives. Examples of these include Institutional Effectiveness Reports and Staff Reports.
- Special – reports on an issue that the Board has a particular interest in.
- Exception – reports that are generated on issues which would not normally be reported on unless something out of the ordinary occurred. For example a failure to meet a predetermined timeline.

Institutional Effectiveness Reports should include:

- Progress made towards Business or Operational objectives or targets.
- Barriers to progress which had to be overcome.
- Barriers to progress which could not be overcome, along with recommendations for alternative actions.
- Recommendations for future actions.

Staff Reports should include:

- Progress towards and outcomes against the Operational Plan.
- Major developments in ongoing policy issues.
- Emerging policy issues that may need to be addressed in future policy work.

A Staff Report should not be used to report activities undertaken in the previous month. These should be recorded in a Calendar of Events.

## 1.5.6 Records of Board meetings

The minutes taken at Board meetings are typed up by the Secretary to the Board of Trustees in the appropriate format and stored in the relevant file. A hard copy is maintained on the Chairman's file held by the Secretary. Records of meetings are retained for seven years and then destroyed.

## 1.5.7 Attendance at Board Meetings

Board members are expected to attend meetings or otherwise notify the Secretary prior to the meeting of their inability to attend. Under the IAT By-Laws if Board members fail to attend three consecutive meetings without the agreement of the Board then their membership will lapse.

## 1.5.8 Co-Option of Board Members

The by-laws of the IAT allow the Board to co-opt up to two additional members who will have all of the rights and obligations of Board members.

The use of co-opted members is usually to fill gaps in expertise required to support the development or implementation of the IAT Strategic Plan. Co-options are also used to support succession planning through the provision of opportunities to train prospective Board members.

The term of office for the co-opted member is generally the same as for nominated members, although in practice this will usually be less once the selection process is completed. It should also be less for those co-opted members who are brought onto the Board to assist members on issues that may take a shorter period of time.

Board members' terms generally end at the time of the AGM so that new members may be introduced and take up their position on the Board having full knowledge of the state of the Institute and its achievements over the previous year. However, only half of the Board members' terms will conclude in any one year therefore co-opted members may be used to bridge the term between one half of the Board leaving and a new body of members joining.

In co-opting a member to the Board, the following process will be followed:

- The areas where there will likely be a need for additional expertise are identified and agreed.
- The current level of expertise possessed by members of the Board is identify and clarified.
- The gap between the current level of expertise on the Board, and that required to effectively and efficiently address an issue or area of concern, is defined.
- The options for co-opting someone to the Board versus up-skilling members of the Board are identified and discussed.

If co-opting one or more people to the Board is decided as the only option then the ground rules for their membership on the Board must be decided. They may be co-opted to assist the Board with a specific issue, in which case they will have the same rights and responsibilities as other Board members when it comes to this issue. They will, however, only attend Board meetings where this issue is discussed and decisions made about it. On the other hand, they may be co-opted as full members of the Board as the area of their expertise covers most or all of the issues the Board are dealing with at that time. In this regard they will attend all meetings and receive the same consideration and remuneration as full members.

## 1.6     Orientation of New Board Members

New Board members are provided with an orientation kit which includes this Policy and Procedures Manual, an organizational chart, copies of the IAT By-Laws, the Strategic and Business plans, the latest Annual Report, Board Policies, and any other documents which may be of use to them. They will also be invited to spend time with each Board member to gain a better understanding of their background and approach to Board membership.

## 1.7     Board Performance Appraisal

As an essential element of its Institutional Effectiveness plan, the IAT promotes and encourages regular evaluation and feedback to the whole Board on its effectiveness in achieving the Strategic and Business Objectives defined in the relevant plans. Such an evaluation will enable the Board to step back from its normal functions and reflect on how well the Board as a whole is meeting its responsibilities with regard to the IAT Mission.

Monitoring the Board's performance and getting feedback on how well it is doing is a critical step in the IAT's objective of instituting and nurturing the Institute as a Learning Organization. Questions which may be asked could take the form of the following:

- Are we clear and in agreement about our Mission? Our objectives? The purpose of the IAT? The purpose of the Board of Trustees?
- Are our values shared – between ourselves and across the IAT as a whole? Are our values relevant to the IAT as a whole?
- Do we, as a Board, provide sufficient orientation to new members?
- Do we value each other and the contribution we make?
- What goals have we set (as a Board) and how well are we accomplishing them?
- What do we do very well? What do we not do very well? How can we do better in the future?
- Are we providing clear and appropriate governance for the IAT? Is everything we do in the best interests of the IAT?

While the IAT believes that evaluation is the responsibility of the Board itself, input from outside of the Board may from time to time be sought. The Board may draw on internal sources to conduct an Institutional Effectiveness review of the Board or it may call on an independent consultant to conduct such an evaluation.

Employing an external consultant to conduct such a review will only be with the consent of the full Board.

This process should occur at least once a year with the report presented to the Board at the first meeting after the review's conclusion.

## 1.8　Board Sub-Committees

The Board of Trustees delegates management and government powers to its sub-committees.

### 1.8.1　Executive Committee

The powers and responsibility delegated to the Executive Committee include decision making in regard to procurement and the instigation of major projects, and to act as the higher authority for issues concerning general management of the Institute.

- The Executive Committee is comprised of:
- The Chairman of the Board.
- Three members of the Board.
- A co-opted member of the Board if such expertise is required.

A quorum for the Executive Committee is three persons, all of whom have signing authority from the Board.

### 1.8.2　Human Resources Committee

The powers of human resource management are delegated by the Board to the Human Resources Committee. Membership, roles and responsibilities of this Committee are detailed in Section 3.

## 1.9　Role of the Director General

The Board delegates day-to-day management of the IAT to the Director General. Within guidelines set out by the Board, the Director General has responsibility for management of the Institute, including:

- Implementation of the Strategic Plan, including development of and reporting against the Business Plan.
- Recruitment, management and supervision of staff.
- Liaison with stakeholders.
- Overseeing the financial management of the Institute, including approving expenditure within the delegated authority and budget.
- Leadership of staff within the Institute.
- Reporting to the Board as required.
- Representing the Institute in public forum and, where agreed with the Chairman, to the media.

The Director General is accountable directly to the Board of Trustees.

## 1.10　Strategic Planning

The Abu Dhabi Polytechnic Strategic Plan is developed on a five-year basis and completely reviewed and, where appropriate, revised on a tri-annual basis. It is developed after extensive review of the current economical and political situation, and after consultation with members of the Board, senior staff members and other stakeholders. Development of the Strategic Plan is the responsibility of the Director General who presents it to the Board for formal adoption and implementation.

The Strategic Plan outlines the key goals and objectives of the Institute, as well as broad strategies to meet these objectives. As an important document within the Institute the

Strategic Plan is available to all staff members and the public. Copies of the current Strategic Plan are available from the Directorate as well as being posted on the IAT website.

## 1.11    Business and Operational Planning

The Business Plan is an internal document designed to support and build on the implementation of the Strategic Plan. It includes key strategies, actions and areas of responsibility for all directorates and staff of the IAT.

Operational Plans are created by all directorates using as their basis the IAT Business Plan. Senior management teams of directorates work with their relevant director to extrapolate from the Business Plan those issues and objectives relevant to their directorate and from this develop sub-objectives and short term goals which, cumulatively, achieve the directorate level goals and objectives.

The Business and Operational plans are reviewed annually except for those objectives which have shorter timeframes, in which case they are reviewed according to their own timetables. The Director General reviews these plans quarterly to evaluate progress against targets and negotiate new and emerging priorities.

## 1.12    Annual Report

An Annual Report is published each year for presentation to the Abu Dhabi government. This report will include the following:

- A report from the Chairman of the Board.
- A report from the Director General.
- A progress report against the Strategic Plan.
- A report of new and emerging trends and issues which the government should take into consideration for future education and training policies.
- A financial report.
- Audited financial statements.

Responsibility for producing this report and organizing the Annual General Meeting resides with the Director General who will liaise with auditors and directors or directorates to ensure that contributions from the relevant staff are accurate, clear, cover all of the essential items, and are received in sufficient time to be fully incorporated into the Annual Report.

When completed the Annual Report will be published on the Abu Dhabi Polytechnic website.

## 1.13    Organization Chart

**Figure 1:  Abu Dhabi Polytechnic Organization Chart**

**Organizational chart of Abu Dhabi Polytechnic can be found in Appendix A.**

## 1.14    Job Descriptions

### 1.14.1    Abu Dhabi Polytechnic Director

**Reports to:** IAT Director General

**Supervises:** All Abu Dhabi Polytechnic personnel

**Purpose:**

To serve as the chief administrator of Abu Dhabi Polytechnic in developing and implementing policies, programmes, and curriculum activities in a manner that promotes the educational development of each student and the professional development of each staff member.

Carry out the policies and directives of the Institute of Applied Technology, in particular:
- Demonstrate high expectations for all students and staff and a commitment to providing the support required to attain them
- Provide leadership for Abu Dhabi Polytechnic in areas of curriculum, teaching and learning, professional development, and quality assurance.
- Ensure a safe and nurturing environment for students, staff, and families
- Design and implement a professional development strategy that addresses instructional improvement priorities defined by student achievement and the individual needs of staff members
- Align the use of time, people, money, and materials to Abu Dhabi Polytechnic instructional priorities
- Cultivate and sustain meaningful partnerships with industry, families and community members that support student achievement and well-being and lead to successful career outcomes

**Duties and Responsibilities:**

- **General Planning**
  The Director conceptualizes the broad goals of Abu Dhabi Polytechnic and plans accordingly to ensure that procedures and schedules are implemented to carry out the total Abu Dhabi Polytechnic programme.

- **General Coordination**
  The Abu Dhabi Polytechnic Director supervises Abu Dhabi Polytechnic's educational programme.

- **Enhancement of Personnel Skills**
  The Abu Dhabi Polytechnic Director provides activities which facilitate the professional growth of the Abu Dhabi Polytechnic staff and enhance the quality of the instructional programme.

- **Abu Dhabi Polytechnic Objectives**
  The Abu Dhabi Polytechnic Director identifies the annual objectives for the instructional, extracurricular, and athletic programmes of Abu Dhabi Polytechnic.

- **Curriculum Objectives**
  The Abu Dhabi Polytechnic Director ensures that instructional objectives for a given subject and/or classroom are developed, and involves the faculty and others in the development of specific curricular objectives to meet the needs of the Abu Dhabi

Polytechnic programmes. The Abu Dhabi Polytechnic Director provides opportunities for staff participation in the Abu Dhabi Polytechnic programmes.

- **Establishes Formal Work Relationships**
  The Abu Dhabi Polytechnic Director establishes, implements, and evaluates procedures used to carry out the daily routine of the Abu Dhabi Polytechnic.

- **Evaluates Performance**
  The Abu Dhabi Polytechnic Director evaluates student progress in the instructional programme by means that include the maintaining of up-to-date student data. The Abu Dhabi Polytechnic Director supervises and appraises the performance of the Abu Dhabi Polytechnic staff.

- **Facilitates Organizational Efficiency**
  The Abu Dhabi Polytechnic Director maintains inter-Abu Dhabi Polytechnic system communication and seeks assistance from central office staff to improve performance. The Abu Dhabi Polytechnic Director maintains good relationships with students, staff, and parents. The Abu Dhabi Polytechnic Director complies with established lines of authority.

- **New Staff and Students**
  The Abu Dhabi Polytechnic Director orients and assists new staff members and new students and provides opportunities for their input in the Abu Dhabi Polytechnic programme.

- **Community**
  The Abu Dhabi Polytechnic Director encourages the use of community resources, cooperates with the community in the use of Abu Dhabi Polytechnic facilities, interprets the Abu Dhabi Polytechnic programme for the community, and maintains communication with community members.

- **Supplies and Equipment**
  The Abu Dhabi Polytechnic Director manages, directs, and maintains records on the materials, supplies and equipment which are necessary to carry out the daily Abu Dhabi Polytechnic routine. The Director involves the staff in determining priorities for instructional supplies.

- **Services**
  The Abu Dhabi Polytechnic Director organizes, oversees, and provides support to the various services, supplies, materials, and equipment provided to carry out the Abu Dhabi Polytechnic programme. The Director makes use of community resources.

- **Communication**
  The Abu Dhabi Polytechnic Director assures that Abu Dhabi Polytechnic goals, policies, and procedures are accurately communicated to and followed by all campus employees. The Abu Dhabi Polytechnic Director develops and utilizes effective communication channels through staff meetings, written procedures, and any other means so that campus employees are able to carry out their duties. The Abu Dhabi Polytechnic Director keeps the IAT Directorate informed by making regular, timely, and relevant reports.

- **Administration**
  Develop, monitor, modify, and apply sound administrative practices to assure all campus employees are properly assigned, supervised and evaluated.

- **Culture**

The Abu Dhabi Polytechnic Director creates and promotes a campus atmosphere which encourages student retention by treating all students fairly, with understanding, respect, and compassion while maintaining discipline.

- **Activities**
Staffing
Student management
Facilities
Supervision
Budgeting
Curriculum management
Administration
Community development
Student support
Student development

## Minimum Job Requirements:

- Ph.D. degree; at least 5 years experience that is directly related to the duties and responsibilities
- At least five (5) years teaching experience
- Demonstrated success working within a high performing educational institution

## Knowledge, Skills and Attributes required:

- Ability to communicate effectively, both orally and in writing
- Working knowledge of learning theories and instructional strategies
- Ability to communicate and collaborate with other professionals in the development of educational programmes
- Critical Thinking and Problem-Solving
- Collaboration
- Communication Effectiveness
- Decision Making
- Influencing and Leading
- Responsibility and Accountability

## 1.14.2    Finance Coordinator

**Reports to:** Abu Dhabi Polytechnic Director

**Supervises:** NA

**Purpose:** The Finance Coordinator assists the Abu Dhabi Polytechnic Director in all areas involving finance, particularly in respect of Accounts Payable and Receivable, budget management, financial reporting and auditing.  The Finance Coordinator liaises with the Finance Department at the IAT Directorate in implementing and observing the IAT's financial system and procedures, and provides the Abu Dhabi Polytechnic and IAT Directorate with reports of financial information, statistics, budgets and projections to assist management in the process of review, analysis and decision making.

**Context:** Abu Dhabi Polytechnic is a learning organization.  As such, all employees strive for personal and institutional development within a culture of effectiveness that:

- values collaboration, teamwork and self;
- encourages ethical behavior;
- facilitates life-long learning;
- utilizes technology.

**Duties and Responsibilities:**

- Manages Abu Dhabi Polytechnic finance, accounting, budgeting, and cash management.
- Maintain the effective and efficient operation and review of existing financial systems and procedures related to purchasing, finance management, budgeting and reporting.
- Works closely with Finance Departments across the system to ensure finance policies and regulations are adhered.
- Manages the management of expenditure, and associated documentation, as related to the financial operations of Abu Dhabi Polytechnic.
- Coordinates compliance of Abu Dhabi Polytechnic with IAT regulations for cash, vouchers, financial systems and related documentation, in so doing, the incumbent ensures audits are conducted ensuring an accurate, clear and correct administrative history for all expenditures in the system. Also, the Finance Coordinator supports the Abu Dhabi Polytechnic Director in the analysis of budget forecasts and projections, maintaining financial records for various projects, providing regular reports and advising on the management of funds.

**Minimum Job Requirements:**

- Master's Degree in Commerce or Accounting or a related field.
- Certified Accounting degree.
- At least 5 years experience in post-secondary education or similar environment.
- Experience in areas of administration and finance or education/business operations.

**Knowledge, Skills and Abilities required:**

- Computer literacy in major databases, spreadsheets and word processing packages essential.
- Knowledge of financial software packages.
- Five years relevant experience in a similar position, responsible for finance, accounting, budgeting and cash management.
- Demonstrated negotiation and communication skills.
- Problem solving skills.
- Good interpersonal skills.
- Demonstrated work effectiveness as a team member in a multicultural environment.
- Demonstrated strong work ethic.

### 1.14.3    Executive Assistant

**Reports to:** Abu Dhabi Polytechnic Director

**Supervises:** NA

**Purpose:** The Executive Assistant will provide administrative support to the Abu Dhabi Polytechnic Director and ensure that the office operates efficiently at all times in a pleasant and professional manner, through oral and written communication and strong interpersonal skills.

**Context:** Abu Dhabi Polytechnic is a learning organization.  As such, all employees strive for personal and institutional development within a culture of effectiveness that:

- values collaboration, teamwork and self;
- encourages ethical behavior;
- facilitates life-long learning;
- utilizes technology.

**Duties and Responsibilities:**

- The primary role will be to manage the office of the Abu Dhabi Polytechnic Director.
- Mange the diary of the Abu Dhabi Polytechnic Director.
- Manages appointments on behalf of the Abu Dhabi Polytechnic Director.
- Arrange and minute meetings as required
- Provide reception duties for guests visiting the Abu Dhabi Polytechnic Director.
- Receive screen, priorities and acknowledge incoming mail on behalf of the Abu Dhabi Polytechnic Director.
- Prepare all communication on behalf of the Abu Dhabi Polytechnic Director.
- Compose and maintains correspondence and any relevant  manuals as required
- Follows up on 'action to be taken' points made at meetings on behalf of the Abu Dhabi Polytechnic Director.
- Translate documents as required
- Arranges travel on behalf of the director including flights and hotels and maintains an expenses reimbursement record
- Liaise with other departments with relation to events management
- Liaise with other colleagues as required

**Minimum Job Requirements:**

- Higher Diploma or Bachelor Degree in Office Administration or related business discipline.
- High level of computer literacy with accurate keyboarding skills a minimum of 60 wpm.
- Excellent oral and written English essential, a knowledge of the structure and content of the English Language including the meaning and spelling of words, rules of composition and grammar.
- Ability to accurately translate English/Arabic and Arabic/English
- Minimum of three years in a similar position within an educational environment
- Proven organizational skills
- Excellent interpersonal skills at all levels
- Excellent communicational skills through all media
- Demonstrable expert level skills in all common office software i.e. Word, Excel, PowerPoint, Visio and Access

- An accomplished and accurate filer with the ability to set-up and maintain filing systems both paper and electronic.

**Knowledge, Skills and Abilities required:**

The actions and decisions made relating to this role have a high potential for impact on the Director therefore the role requires someone who is mature, tactful, diplomatic and can maintain a calm disposition at all times.

- Can work with integrity and in a highly confidential manner
- Can prioritize workloads, delivering on time
- Possess strong analytical and information organizational skills
- Excellent interpersonal skills
- Proven time management skills
- An effective Team member
- A confident multitasker
- Can manage projects
- A logical and methodical documenter

### 1.14.4    Senior Manager of Student and Support Services

**Reports to:** Abu Dhabi Polytechnic Director

**Supervises:** General administration personnel

**Purpose:** The Senior Manager of Student and Support Services is responsible for the day to day operations of Abu Dhabi Polytechnic. The main task is to manage multi-disciplined terms of facility support and student services within Abu Dhabi Polytechnic.

**Context:** Abu Dhabi Polytechnic is a learning organization.  As such, all employees strive for personal and institutional development within a culture of effectiveness that:

- values collaboration, teamwork and self;
- encourages ethical behavior;
- facilitates life-long learning;
- utilizes technology.

**Duties and Responsibilities:**

- To be responsible for the Procurements and Contracts.
- To be responsible for the development, implementation and oversee all processes and procedures related to facility support and student services across Abu Dhabi Polytechnic.
- Set achievable goals, develop staff, monitor performance and evaluate results to ensure that all operating requirements are met and are in line with the needs of the stakeholders.
- Liaise with the Abu Dhabi Polytechnic Director to provide up to date information on a timely basis to enable the Abu Dhabi Polytechnic Director to execute the required duties.
- Develop a culture and ethos of achievement, loyalty and partnership working based on highly provision and a high quality learning environment.
- Create and maintain an environment of positive and effective leadership that promotes and supports the achievement of individual and organizational objectives in line with the vision of Abu Dhabi Polytechnic.
- Set performance expectations and conduct performance management evaluation of support staff.
- Lead by personal example.

**Minimum Job Requirements:**

- Masters Degree level or equivalent in Facilities Management or related fields.
- Minimum of 5 years of successful administrative experience and two years at Senior Management Level.
- A clear understanding of the academic sector.
- Bilingual Arabic/English language ability.  Priority for native-Arabic speaker who is able to communicate effectively in English

**Knowledge, Skills and Abilities required:**

- The ability to think creatively and strategically to successfully mediate and negotiate with individuals and groups internally and externally.

- Proven negotiation and mediation skills.
- The ability to overcome obstacles to cooperate and to foster harmonious relations.
- The ability to balance competing priorities, complex situations and tight deadlines.
- Excellent management and information technology skills.
- Excellent written and verbal communication skills, good interpersonal skills and an ability to work with diverse groups of people
- Strong financial expertise, prior experience with budget and financial statements.

**Personal Attributes:**  Personal attributes require a strong team leader, with obvious inherent enthusiasm and passion to work alongside a variety of staff.

Key attributes will include:

- Willingness to work extracurricular hours as routine
- Ability to lead multi-cultured subordinates
- Maturity, intelligence, energy and a good sense of humor
- The ability to operate at all levels of management and to appreciate the 'bigger picture'
- Diplomacy and tact
- Outstanding and obvious initiate and enthusiasm
- Strong leadership qualities and planning and man management skills
- Supervisory abilities and possessing the required levels of moral courage and integrity
- Smart with healthy / fit appearance and bearing and the ability to operate in arduous weather conditions (hot)
- Patience, flexibility, strong personality and professional knowledge

### 1.14.5    Head, Academic Support Unit

**Reports to:** Abu Dhabi Polytechnic Director

**Supervises:** Degree Requirements Unit staff

**Purpose:** The Head, Degree Requirements Unit is responsible for overseeing all the academic and administrative affairs within the unit.

**Context:** Abu Dhabi Polytechnic is a learning organization.  As such, all employees strive for personal and institutional development within a culture of effectiveness that:

- values collaboration, teamwork and self;
- encourages ethical behavior;
- facilitates life-long learning;
- utilizes technology.

**Duties and Responsibilities:**

- Develop, monitor, modify, and apply sound administrative practices to assure all staff are properly assigned, supervised and evaluated.
- Plan and monitor all the unit's academic courses and instruction teaching/instructional staff to ensure they fulfill their roles in a professional, dynamic and energetic manner to ensure all teaching and support activity is conducted to the highest standards.
- Responsible for all aspects of academic and practical course programmeming and timetabling, in conjunction with Heads of Divisions, and ensuring all training is conducted in accordance with the Curriculum Strategy and Abu Dhabi Polytechnic instructions.
- Responsible for all aspects of academic and practical course syllabus/assessment material development, in conjunction with Heads of Divisions, and ensuring all development/assessment is conducted in accordance with the Curriculum Strategy and Abu Dhabi Polytechnic instructions
- Ensure the timely production, approval and issue of all academic and practical general instructions, weekly training programmes, training instructions and dissemination of strategic direction to the academic departments.
- Oversee departmental Quality Control and internal validation for all academic and vocational training documentation at Abu Dhabi Polytechnic according to the Curriculum Strategy and policy.
- Ensure all training is produced and conducted in a dynamic, challenging, realistic and safe manner, in line with the training objectives and current (doctrinal) teaching and methods.
- Oversee, manage, educate and mentor staff in all aspects of personal development, where relevant and appropriate.
- To counsel, advise, encourage, interact with and develop all Abu Dhabi Polytechnic students, in all aspects of their personal development, in order to achieve Abu Dhabi Polytechnic aims.

**Minimum Job Requirements:**

- Ph. D degree in a relevant field; Science, Humanities or related fields.
- Minimum of 5 years of successful teaching experience and two years successful academic supervisory experience (with experience of curriculum implementation)
- Experience with teacher support and/or curriculum and assessment development planning.

- Bilingual Arabic/English language ability.  Priority for native-Arabic speaker who is able to communicate effectively in English

**Knowledge, Skills and Abilities required:**

- Committed to innovation in Teaching and Learning Initiatives, with a positive "can do" attitude and willingness to promote life-long learning across IAT
- Well versed in the learning paradigm and project based learning
- Strong written and verbal communication skills, good interpersonal skills and an ability to work with diverse groups of people
- Sound understanding of technologies that support educational development and current with technology developments

**Personal Attributes:**  Personal attributes require a strong team leader, with obvious inherent enthusiasm and passion to work alongside a variety of staff.

Key attributes will include:

- The aptitude to work with Arab youth who may have a variety of social and / or personality issues
- Having a special affinity for proactively interacting with trainees and engaging them in all aspects of their boarding Abu Dhabi Polytechnic life
- Willingness to work extracurricular hours as routine
- Ability to lead multi-cultured subordinates
- Maturity, intelligence, energy and a good sense of humor
- The ability to operate at all levels of management and to appreciate the 'bigger picture'
- Diplomacy and tact
- Outstanding and obvious initiate and enthusiasm
- Strong leadership qualities and planning and man management skills
- Supervisory abilities and possessing the required levels of moral courage and integrity
- Smart with healthy and fit appearance and bearing and the ability to operate in arduous weather conditions (hot)
- Patience, flexibility, strong personality and professional knowledge
- Ability to gain the confidence of Emirati personnel at all levels
- Strong interpersonal skills, especially with course trainees
- Excellent communication skills both written and verbal
- Awareness of and sensitivity to Muslim culture

### 1.14.6    Head, Advanced Energy Division

**Reports to:** Abu Dhabi Polytechnic Director

**Supervises:** Nuclear Technology Division staff

**Purpose:** The Head, Nuclear Technology Division is responsible for overseeing all the academic and administrative affairs within the division.

**Context:** Abu Dhabi Polytechnic is a learning organization.  As such, all employees strive for personal and institutional development within a culture of effectiveness that:

- values collaboration, teamwork and self;
- encourages ethical behavior;
- facilitates life-long learning;
- utilizes technology.

**Duties and Responsibilities:**

- Develop, monitor, modify, and apply sound administrative practices to assure all staff are properly assigned, supervised and evaluated.
- Plan and monitor all the division's academic courses and instruction teaching and instructional staff to ensure they fulfill their roles in a professional, dynamic and energetic manner to ensure all teaching and support activity is conducted to the highest standards.
- Responsible for all aspects of academic and practical course programmeming and timetabling, in conjunction with Heads of Divisions, and ensuring all training is conducted in accordance with the Curriculum Strategy and Abu Dhabi Polytechnic instructions.
- Responsible for all aspects of academic and practical course syllabus/assessment material development, in conjunction with Heads of Divisions, and ensuring all development/assessment is conducted in accordance with the Curriculum Strategy and Abu Dhabi Polytechnic instructions
- Ensure the timely production, approval and issue of all academic/practical general instructions, weekly training programmes, training instructions and dissemination of strategic direction to the academic departments.
- Oversee divisional Quality Control and internal validation for all academic/vocational training documentation at Abu Dhabi Polytechnic according to the Curriculum Strategy and policy.
- Ensure all training is produced and conducted in a dynamic, challenging, realistic and safe manner, in line with the training objectives and current teaching and methods.
- Oversee, manage, educate and mentor staff in all aspects of personal development, where relevant and appropriate.
- To counsel, advise, encourage, interact with and develop all Abu Dhabi Polytechnic students, in all aspects of their personal development, in order to achieve Abu Dhabi Polytechnic aims.

**Minimum Job Requirements:**

- Ph. D degree in a relevant field; Science, Engineering, nuclear energy
- Minimum of 5 years of successful teaching experience and two years successful academic supervisory experience (with experience of curriculum implementation)

- Experience with teacher support and/or curriculum and assessment development planning.
- Bilingual Arabic/English language ability. Priority for native-Arabic speaker who is able to communicate effectively in English

**Knowledge, Skills and Abilities required:**

- Committed to innovation in Teaching and Learning Initiatives, with a positive "can do" attitude and willingness to promote life-long learning across IAT
- Well versed in the learning paradigm and project based learning
- Strong written and verbal communication skills, good interpersonal skills and an ability to work with diverse groups of people
- Sound understanding of technologies that support educational development and current with technology developments

**Personal Attributes:** Personal attributes require a strong team leader, with obvious inherent enthusiasm and passion to work alongside a variety of staff.

Key attributes will include:

- The aptitude to work with Arab youth who may have a variety of social and personality issues
- Having a special affinity for proactively interacting with trainees and engaging them in all aspects of their boarding Abu Dhabi Polytechnic life
- Willingness to work extracurricular hours as routine
- Ability to lead multi-cultured subordinates
- Maturity, intelligence, energy and a good sense of humor
- The ability to operate at all levels of management and to appreciate the 'bigger picture'
- Diplomacy and tact
- Outstanding and obvious initiate and enthusiasm
- Strong leadership qualities and planning and man management skills
- Supervisory abilities and possessing the required levels f moral courage and integrity
- Smart with healthy and fit appearance and bearing and the ability to operate in arduous weather conditions (hot)
- Patience, flexibility, strong personality and professional knowledge
- Ability to gain the confidence of Emirati personnel at all levels
- Strong interpersonal skills, especially with course trainees
- Excellent communication skills both written and verbal
- Awareness of and sensitivity to Muslim culture

### 1.14.7    Head, Electro-Mechanical-Engineering Technology Division

**Reports to:** Abu Dhabi Polytechnic Director

**Supervises:** Semiconductor Technology Division staff

**Purpose:** The Head, Semiconductor Technology Division is responsible for overseeing all the academic and administrative affairs within the division.

**Context:** Abu Dhabi Polytechnic is a learning organization.  As such, all employees strive for personal and institutional development within a culture of effectiveness that:

- values collaboration, teamwork and self;
- encourages ethical behavior;
- facilitates life-long learning;
- utilizes technology.

**Duties and Responsibilities:**

- Develop, monitor, modify, and apply sound administrative practices to assure all staff are properly assigned, supervised and evaluated.
- Plan and monitor all the division's academic courses and instruction teaching and instructional staff to ensure they fulfill their roles in a professional, dynamic and energetic manner to ensure all teaching and support activity is conducted to the highest standards.
- Responsible for all aspects of academic and practical course programming and timetabling, in conjunction with Heads of Divisions, and ensuring all training is conducted in accordance with the Curriculum Strategy and Abu Dhabi Polytechnic instructions.
- Responsible for all aspects of academic and practical course syllabus/assessment material development, in conjunction with Heads of Divisions, and ensuring all development/assessment is conducted in accordance with the Curriculum Strategy and Abu Dhabi Polytechnic instructions
- Ensure the timely production, approval and issue of all academic/practical general instructions, weekly training programs, training instructions and dissemination of strategic direction to the academic departments.
- Oversee divisional Quality Control and internal validation for all academic/vocational training documentation at Abu Dhabi Polytechnic according to the Curriculum Strategy and policy.
- Ensure all training is produced and conducted in a dynamic, challenging, realistic and safe manner, in line with the training objectives and current teaching and methods.
- Oversee, manage, educate and mentor staff in all aspects of personal development, where relevant and appropriate.
- To counsel, advise, encourage, interact with and develop all Abu Dhabi Polytechnic students, in all aspects of their personal development, in order to achieve Abu Dhabi Polytechnic aims.

**Minimum Job Requirements:**

- Ph. D degree in a relevant field; Science, Engineering, semiconductor manufacturing
- Minimum of 5 years of successful teaching experience and two years successful academic supervisory experience (with experience of curriculum implementation)

- Experience with teacher support and/or curriculum and assessment development planning.
- Bilingual Arabic/English language ability. Priority for native-Arabic speaker who is able to communicate effectively in English

**Knowledge, Skills and Abilities required:**

- Committed to innovation in Teaching and Learning Initiatives, with a positive "can do" attitude and willingness to promote life-long learning across IAT
- Well versed in the learning paradigm and project based learning
- Strong written and verbal communication skills, good interpersonal skills and an ability to work with diverse groups of people
- Sound understanding of technologies that support educational development and current with technology developments

**Personal Attributes:** Personal attributes require a strong team leader, with obvious inherent enthusiasm and passion to work alongside a variety of staff.

Key attributes will include:

- The aptitude to work with Arab youth who may have a variety of social and personality issues
- Having a special affinity for proactively interacting with trainees and engaging them in all aspects of their boarding Abu Dhabi Polytechnic life
- Willingness to work extracurricular hours as routine
- Ability to lead multi-cultured subordinates
- Maturity, intelligence, energy and a good sense of humor
- The ability to operate at all levels of management and to appreciate the 'bigger picture'
- Diplomacy and tact
- Outstanding and obvious initiate and enthusiasm
- Strong leadership qualities and planning and man management skills
- Supervisory abilities and possessing the required levels f moral courage and integrity
- Smart with healthy and fit appearance and bearing and the ability to operate in arduous weather conditions (hot)
- Patience, flexibility, strong personality and professional knowledge
- Ability to gain the confidence of Emirati personnel at all levels
- Strong interpersonal skills, especially with course trainees
- Excellent communication skills both written and verbal
- Awareness of and sensitivity to Muslim culture

## 1.14.8　Head, Information Security Engineering Technology Division

**Reports to:** Abu Dhabi Polytechnic Director

**Supervises:** Information and Communication Technology Division staff

**Purpose:** The Head, Information and Communication Technology Division is responsible for overseeing all the academic and administrative affairs within the division.

**Context:** Abu Dhabi Polytechnic is a learning organization.  As such, all employees strive for personal and institutional development within a culture of effectiveness that:

- values collaboration, teamwork and self;
- encourages ethical behaviour;
- facilitates life-long learning;
- Utilizes technology.

**Duties and Responsibilities:**

- Develop, monitor, modify, and apply sound administrative practices to assure all staff are properly assigned, supervised and evaluated.
- Plan and monitor all the division's academic courses and instruction teaching and instructional staff to ensure they fulfill their roles in a professional, dynamic and energetic manner to ensure all teaching and support activity is conducted to the highest standards.
- Responsible for all aspects of academic and practical course programmeming and timetabling, in conjunction with Heads of Divisions, and ensuring all training is conducted in accordance with the Curriculum Strategy and Abu Dhabi Polytechnic instructions.
- Responsible for all aspects of academic and practical course syllabus/assessment material development, in conjunction with Heads of Divisions, and ensuring all development/assessment is conducted in accordance with the Curriculum Strategy and Abu Dhabi Polytechnic instructions
- Ensure the timely production, approval and issue of all academic/practical general instructions, weekly training programmes, training instructions and dissemination of strategic direction to the academic departments.
- Oversee divisional Quality Control and internal validation for all academic/vocational training documentation at Abu Dhabi Polytechnic according to the Curriculum Strategy and policy.
- Ensure all training is produced and conducted in a dynamic, challenging, realistic and safe manner, in line with the training objectives and current teaching and methods.
- Oversee, manage, educate and mentor staff in all aspects of personal development, where relevant and appropriate.
- To counsel, advise, encourage, interact with and develop all Abu Dhabi Polytechnic students, in all aspects of their personal development, in order to achieve Abu Dhabi Polytechnic aims.

**Minimum Job Requirements:**

- Ph. D degree in Computer Science or Engineering or related fields
- Minimum of 5 years of successful teaching experience and two years successful academic supervisory experience (with experience of curriculum implementation)

- Experience with teacher support and/or curriculum and assessment development planning.
- Bilingual Arabic/English language ability. Priority for native-Arabic speaker who is able to communicate effectively in English

## Knowledge, Skills and Abilities required:

- Committed to innovation in Teaching and Learning Initiatives, with a positive "can do" attitude and willingness to promote life-long learning across IAT
- Well versed in the learning paradigm and project based learning
- Strong written and verbal communication skills, good interpersonal skills and an ability to work with diverse groups of people
- Sound understanding of technologies that support educational development and current with technology developments

**Personal Attributes:** Personal attributes require a strong team leader, with obvious inherent enthusiasm and passion to work alongside a variety of staff.

Key attributes will include:

- The aptitude to work with Arab youth who may have a variety of social and personality issues
- Having a special affinity for proactively interacting with trainees and engaging them in all aspects of their boarding Abu Dhabi Polytechnic life
- Willingness to work extracurricular hours as routine
- Ability to lead multi-cultured subordinates
- Maturity, intelligence, energy and a good sense of humor
- The ability to operate at all levels of management and to appreciate the 'bigger picture'
- Diplomacy and tact
- Outstanding and obvious initiate and enthusiasm
- Strong leadership qualities and planning and man management skills
- Supervisory abilities and possessing the required levels f moral courage and integrity
- Smart with healthy and fit appearance and bearing and the ability to operate in arduous weather conditions (hot)
- Patience, flexibility, strong personality and professional knowledge
- Ability to gain the confidence of Emirati personnel at all levels
- Strong interpersonal skills, especially with course trainees
- Excellent communication skills both written and verbal
- Awareness of and sensitivity to Muslim culture

### 1.14.9    Head, Petroleum Engineering Technology Division

**Reports to:** Abu Dhabi Polytechnic Director

**Supervises:** Petrochemical Engineering Technology Division staff

**Purpose:** The Head of Petrochemical Engineering Technology Division is responsible for overseeing all the academic and administrative affairs within the division.

**Context:** Abu Dhabi Polytechnic is a learning organization.  As such, all employees strive for personal and institutional development within a culture of effectiveness that:

- values collaboration, teamwork and self;
- encourages ethical behaviour;
- facilitates life-long learning;
- Utilizes technology.

**Duties and Responsibilities:**

- Develop, monitor, modify, and apply sound administrative practices to assure all staff are properly assigned, supervised and evaluated.
- Plan and monitor all the division's academic courses and instruction teaching and instructional staff to ensure they fulfill their roles in a professional, dynamic and energetic manner to ensure all teaching and support activity is conducted to the highest standards.
- Responsible for all aspects of academic and practical course programmeming and timetabling, in conjunction with Heads of Divisions, and ensuring all training is conducted in accordance with the Curriculum Strategy and Abu Dhabi Polytechnic instructions.
- Responsible for all aspects of academic and practical course syllabus/assessment material development, in conjunction with Heads of Divisions, and ensuring all development/assessment is conducted in accordance with the Curriculum Strategy and Abu Dhabi Polytechnic instructions
- Ensure the timely production, approval and issue of all academic/practical general instructions, weekly training programmes, training instructions and dissemination of strategic direction to the academic departments.
- Oversee divisional Quality Control and internal validation for all academic/vocational training documentation at Abu Dhabi Polytechnic according to the Curriculum Strategy and policy.
- Ensure all training is produced and conducted in a dynamic, challenging, realistic and safe manner, in line with the training objectives and current teaching and methods.
- Oversee, manage, educate and mentor staff in all aspects of personal development, where relevant and appropriate.
- To counsel, advise, encourage, interact with and develop all Abu Dhabi Polytechnic students, in all aspects of their personal development, in order to achieve Abu Dhabi Polytechnic aims.

**Minimum Job Requirements:**

- Ph. D degree in Petroleum or Chemical Engineering or related fields
- Minimum of 5 years of successful teaching experience and two years successful academic supervisory experience (with experience of curriculum implementation)

- Experience with teacher support and/or curriculum and assessment development planning.
- Bilingual Arabic/English language ability. Priority for native-Arabic speaker who is able to communicate effectively in English

**Knowledge, Skills and Abilities required:**

- Committed to innovation in Teaching and Learning Initiatives, with a positive "can do" attitude and willingness to promote life-long learning across IAT
- Well versed in the learning paradigm and project based learning
- Strong written and verbal communication skills, good interpersonal skills and an ability to work with diverse groups of people
- Sound understanding of technologies that support educational development and current with technology developments

**Personal Attributes:** Personal attributes require a strong team leader, with obvious inherent enthusiasm and passion to work alongside a variety of staff.

Key attributes will include:

- The aptitude to work with Arab youth who may have a variety of social and personality issues
- Having a special affinity for proactively interacting with trainees and engaging them in all aspects of their boarding Abu Dhabi Polytechnic life
- Willingness to work extracurricular hours as routine
- Ability to lead multi-cultured subordinates
- Maturity, intelligence, energy and a good sense of humor
- The ability to operate at all levels of management and to appreciate the 'bigger picture'
- Diplomacy and tact
- Outstanding and obvious initiate and enthusiasm
- Strong leadership qualities and planning and man management skills
- Supervisory abilities and possessing the required levels f moral courage and integrity
- Smart with healthy and fit appearance and bearing and the ability to operate in arduous weather conditions (hot)
- Patience, flexibility, strong personality and professional knowledge
- Ability to gain the confidence of Emirati personnel at all levels
- Strong interpersonal skills, especially with course trainees
- Excellent communication skills both written and verbal
- Awareness of and sensitivity to Muslim culture

### 1.14.10   Lecturer

**Reports to:** Appropriate Technology Division or Requirements Unit Head

**Supervises:** NA

**Purpose:** Faculty hold the position of Lecturer.  Faculty are designated as *assistant*, *associate*, *senior*, *adjunct* and *visiting* depending on academic and industrial credentials and contractual agreement.  Lecturers are subject matter experts whose primary role is to teach courses in which they are experts to UAE national students in a practical learner cantered environment. The aim of the curriculum is to help students develop the basic mathematics, science, and practical skills necessary to function effectively in an international work environment and to implement and realize curriculum in a student-centred environment to students in Abu Dhabi Polytechnic.  Every faculty member is encouraged to provide ideas and suggestions leading to continuous improvement of local teaching and learning practices and encourage alignment of Teaching, Learning, and Assessment practices with instructional and delivery methods, in line with related performance improvement standards.

**Context:** Abu Dhabi Polytechnic is a learning organization.  As such, all employees strive for personal and institutional development within a culture of effectiveness that:

- values collaboration, teamwork and self;
- encourages ethical behaviour;
- facilitates life-long learning;
- utilizes technology.

### Duties and Responsibilities:

- Responsible for the conduct of tutorials, practical classes, demonstrations, workshops, and/or student field excursions.
- The preparation and delivery of lectures and seminars provided that their skills and experience demonstrate this capacity.
- Acting as a student advocate where appropriate.
- Involvement in professional activity.
- Consultation with students.
- Marking and assessment primarily connected with courses in which the faculty member teaches.
- Production of teaching materials for students for whom the faculty member has responsibility.
- Development of course material with appropriate guidance from the programme coordinator.
- Limited administrative functions primarily connected with courses in which the faculty member teaches.
- Acting as instructor of record or section coordinators provided that their skills and experience demonstrate this capacity.
- Recommending relevant changes to the curriculum committee as appropriate.
- Attendance at divisional/unit meetings, faculty meetings, and membership in Abu Dhabi Polytechnic committees.
- Ensuring own professional development by seeking learning opportunities as appropriate.
- Performs other duties assigned by the Head of their Division/Unit.

### Minimum Job Requirements:

- Masters in Applied Technology or equivalent. Ph.D. degree preferred.
- Minimum of 5 years of successful experience preferably with teaching/training experience relative to qualifications, regard is given to teaching experience, experience in research, creative achievement, and professional contribution.
- A clear understanding of the academic sector.
- Student centered, and an aptitude to work with Arab youth.
- Committed to innovation in Teaching and Learning initiatives, with a positive "can do" attitude and willingness to promote life-long learning.
- Commitment to student-centered, project based learning.
- Strong written and verbal communication skills, good interpersonal skills and an ability to work with diverse groups of people.
- Sound understanding of technologies that support educational development and current with technology developments.
- Other duties as assigned, to facilitate the needs of the Head of the Unit including conducting additional periods per week in a course related subject, if required.
- Excellent oral and written English essential.
- Priority for native-Arabic speaker who is able to communicate effectively in English.

**Knowledge, Skills and Abilities required:**

The position requires an experienced employee who possesses the following qualities:
- Can work under pressure
- Value and strong work ethic
- Integrity
- Can prioritize workloads, delivering on time
- Possess strong analytical and information organizational skills
- Excellent interpersonal skills
- Proven time management skills
- A logical and methodical documenter
- Keeps up to date with current trends by reading manuals, technical reports, periodicals etc.

### 1.14.11   Teaching Assistant

**Reports to:**   Appropriate Technology Division or Requirements Unit Head or their representative course Instructor of Record or Section Coordinator

**Supervises:** NA

**Purpose:**   Instructors (designated as *assistant* or *senior*, depending on credentials and experience) laboratory section leaders, and tutors hold the position of Teaching Assistant. Their primary role is to assist faculty in teaching to UAE national students in a practical learner cantered environment. The aim of the curriculum is to help students develop the basic math skills necessary to function effectively in an international work environment and to implement and realize curriculum in a student-centered environment to students in the Abu Dhabi Polytechnic.  Every staff member is encouraged to provide ideas and suggestions leading to continuous improvement of local teaching and learning practices and encourage alignment of Teaching, Learning, and Assessment practices with instructional and delivery methods, in line with related performance improvement standards.

**Context:** Abu Dhabi Polytechnic is a learning organization.  As such, all employees strive for personal and institutional development within a culture of effectiveness that:

- values collaboration, teamwork and self;
- encourages ethical behavior;
- facilitates life-long learning;
- utilizes technology.

**Duties and Responsibilities:**

- To assist the instructor of record or section coordinator in the conduct of tutorials, laboratories, practical classes, demonstrations, workshops, and/or student field excursions.
- The preparation and delivery of lectures, tutorials, and seminars provided that their skills and experience demonstrate this capacity.
- Acting as a student advocate where appropriate.
- Involvement in professional activity.
- Consultation with students.
- Marking and assessment primarily connected with courses in which the staff member teaches.
- Production of teaching materials for students for whom the staff member has responsibility.
- Development of course material with appropriate guidance from the programme coordinator.
- Limited administrative functions primarily connected with courses in which the staff member teaches.
- Acting as course coordinators provided that their skills and experience demonstrate this capacity.
- Recommending relevant changes to the curriculum committee as appropriate.
- Attendance at staff meetings and/or membership on a limited number of Abu Dhabi Polytechnic committees.
- Ensuring own professional development by seeking learning opportunities as appropriate.
- Performs other duties assigned by the head of applicable division/unit.

**Minimum Job Requirements:**

- Bachelor degree in field appropriate to division/unit assignment. Master's degree preferred.
- Minimum of 3 years of successful experience preferably with teaching/training experience relative to qualifications, regard is given to teaching experience, experience in research, creative achievement, and professional contribution.
- A clear understanding of the academic sector.
- Student centered, and an aptitude to work with Arab youth.
- Committed to innovation in Teaching and Learning initiatives, with a positive "can do" attitude and willingness to promote life-long learning.
- Commitment to student-centered, project based learning.
- Strong written and verbal communication skills, good interpersonal skills and an ability to work with diverse groups of people.
- Sound understanding of technologies that support educational development and current with technology developments.
- Other duties as assigned, to facilitate the needs of the Head of the Unit including conducting additional periods per week in a course related subject, if required.
- Excellent oral and written English essential.
- Priority for native-Arabic speaker who is able to communicate effectively in English.

**Knowledge, Skills and Abilities required:**

The position requires an experienced employee who possesses the following qualities:
- Can work under pressure
- Value and strong work ethic
- Integrity
- Can prioritize workloads, delivering on time
- Possess strong analytical and information organizational skills
- Excellent Interpersonal skills
- Proven Time Management skills
- A logical and methodical documenter
- Keeps up to date with current trends by reading manuals, technical reports, periodicals etc.

### 1.14.12   Laboratory Engineer/Technician

**Reports to:**   Appropriate Technology Division or Requirements Unit Head or their representative course Instructor of Record or Section Coordinator

**Supervises:**  NA

**Purpose:**  The Laboratory Engineer is responsible for developing course-related laboratories under the direction of the appropriate Technology Division or Requirements Unit Head or their representative course Instructor of Record or Section Coordinator.

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- values collaboration, teamwork and self;
- encourages ethical behavior;
- facilitates life-long learning;
- utilizes technology.

**Duties and Responsibilities:**

- Manages day-to-day operations of all teaching laboratories, including equipment preparation and maintenance, safety standards/training compliance.
- Prepares and oversees equipment scheduled for use during laboratory teaching sessions.
- Demonstrates care and use of equipment, according to health and safety standards and practices, to teaching staff and students.
- Ensure that all equipment and operations are audited to ensure highest levels of adherence to health and safety protocols.
- Supports teaching staff in the development and implementation of teaching modules and projects.
- Trains teaching staff and students in application and use of new equipment.
- Coordinates with curriculum management to determine equipment/consumables purchase priorities based on budget allowances, condition of existing equipment, and scheduled laboratory activities.
- Implement any changes to the lab facilities necessary to accomplish technology education.
- Reasonably related duties as assigned.

**Minimum Job Requirements:**

- Bachelor degree in science, electrical, mechanical, mechatronics engineering as appropriate to assigned laboratories.
- Minimum 2 years of experience with operation and maintenance of instrumentation related to those in the Abu Dhabi Polytechnic; demonstrated experience with general laboratory operations and safety standards, and laboratory management.
- Excellent oral and written English essential.
- Spoken Arabic skills preferable.

**Knowledge, Skills and Abilities required:**

- Student centered, and an aptitude to work with Arab youth.
- Committed to innovation in Teaching and Learning initiatives, with a positive "can do" attitude and willingness to promote life-long learning across Abu Dhabi Polytechnic.
- Commitment to student-centered, project based learning.
- Strong written and verbal communication skills, good interpersonal skills and an ability to work with diverse group of people.
- Sound understanding of technologies that support educational development and current with technology developments.

### 1.14.13   Administrative Assistant

**Reports to:**  Appropriate Senior Manager, or Division or Unit Head

**Supervises:**  NA

**Purpose:**  Reporting to the appropriate Senior Manager, or Division or Unit Head, the Administrative Assistant is responsible for planning, supervising and executing the necessary activities to ensure that the disciplines within the department/division/unit operate in an efficient and effective manner. Diary management and departmental liaison will be high on the list of priorities as well as accurate file management, minute taking, and hospitality.

**Context:**  Abu Dhabi Polytechnic is a learning organization.  As such, all employees strive for personal and institutional development within a culture of effectiveness that:

- values collaboration, teamwork and self;
- encourages ethical behavior;
- facilitates life-long learning;
- utilizes technology.

### Duties and Responsibilities:

Ensure the effective and efficient operation of all aspects of Abu Dhabi Polytechnic which encompasses the following:

- The provision of excellent administrative support to the Student Services team including manning the main telephone line, distribution mail both incoming and outgoing. Distribution/sending faxes. Organize and arrange documents for courier service.  Office supplies maintenance.
- Assist with the administration and provision of event planning and management i.e. location booking, presenter booking, hospitality booking, attendees tracking etc.  Assist with the production and mailing of mass mailing items
- Organize, book and minute meetings as required
- Greet all visitors to the department offering appropriate hospitality
- Act as trainer/mentor to any work placement students or Assistants
- Assist staff members with IT and communication tasks
- Act as liaison between the Student and Support Services staff and the HR department on employee relations issues i.e. payment for additional duties, health card receipt, salary letters, children's school fees administration, attendance and leaves, etc.
- The responsibilities listed above are not exhaustive. Additional duties may be added from time to time depending on organizational requirements.

### Minimum Job Requirements:

- Higher Diploma in Office Administration or similar.
- Excellent oral and written in both languages Arabic and English.
- 3 years within a busy office environment.
- Proven experience with all office technology, printers, photocopiers, faxes etc.
- Customer service and reception skills.
- Computer literate.
- Proven filing and retrieving skills.

### Knowledge, Skills and Abilities required:

The position requires an energetic, confident and experienced employee who can work under pressure and multitask.  Skills should include the following:

- Keen eye for detail
- An accurate typist
- An accurate filer
- Ability to track work and work through to resolution.
- Can work as part of a team or independently as required
- A proficient time manager
- Can organize his/her own workload and that of any reporters
- Can ask for assistance when required
- Must be able to use mainstream software i.e. Word, Excel PowerPoint etc.
- Can use Word, Mail merge, Excel, PowerPoint and ideally understand and utilize SharePoint

### 1.14.14  Senior Coordinator of Student Services

**Reports to:**  Senior Manager, Student and Support Services

**Supervises:**

- Nurse
- Career Counselors Coordinator
- Library Coordinator
- Registrar

**Purpose:**  The Senior Coordinator of Student Services provides high quality leadership to the teaching and learning support staff at Abu Dhabi Polytechnic. The Senior Coordinator of Student Services will hold responsibility for leading the implementation of strategies that support the teaching and learning team in the realization of the Abu Dhabi Polytechnic mission.

**Context:**  Abu Dhabi Polytechnic is a learning organization.  As such, all employees strive for personal and institutional development within a culture of effectiveness that:

- values collaboration, teamwork and self;
- encourages ethical behavior;
- facilitates life-long learning;
- utilizes technology.

**Duties and Responsibilities:**

- Manage the learning support team.
- Plan and implement a range of strategies to integrate better Abu Dhabi Polytechnic graduates into the workplace or Higher Education.
- Ensure that counselors provide effective individual and group counseling sessions to alleviate students' study or behavioral problems.
- Coordinate and provide leadership to the Student Services staff to ensure effective communication with parents and stakeholders.
- Function as a key partner with local industry.
- Facilitate the development and implementation of Abu Dhabi Polytechnic curriculum and project planning with their teaching teams.
- Act as a role model for their learning support team through the leadership they provide in managing the learning environment, maintaining records, collaborating with teachers, promoting staff development and developing themselves in a pro-active manner.

**Minimum Job Requirements:**

- Degree in the field of education, Masters is preferred.
- Minimum of 5 years of successful teaching experience and two years successful academic supervisory experience (with similar experience in post secondary management).
- Experience with teacher support and/or career development planning.

**Knowledge, Skills and Abilities required:**

- Committed to innovation in Teaching and Learning support initiatives, with a positive "can do" attitude and willingness to promote life-long learning across IAT.
- Well versed in the learning paradigm and project based learning.

- Strong written and verbal communication skills, good interpersonal skills and an ability to work with diverse groups of people.
- Sound understanding of technologies that support educational development and current with technology developments.

### 1.14.15 Students and Support Services Manager /Registrar

**Reports to:** Senior Coordinator of Student Services

**Supervises:** NA

**Purpose:** The Registrar provides leadership to plan, organize and manage all of the activities related to the Records and Registration Department, including serving as the official authorized keeper of Abu Dhabi Polytechnic student records.

**Context:** Abu Dhabi Polytechnic is a learning organization. As such, all employees strive for personal and institutional development within a culture of effectiveness that:

- values collaboration, teamwork and self;
- encourages ethical behavior;
- facilitates life-long learning;
- utilizes technology.

**Duties and Responsibilities:**

- Responsible for the preparation of data, editing, reporting and certification for Students' grades.
- Certifies official report date class rosters based on student registration data.
- Provides reports of enrolment and student data to the Abu Dhabi Polytechnic Director, to provide framework for decisions involving recruitment and retention.
- Responsible for development, justification, and management of departmental operating budgets.
- Responsible for evaluating hardware, software, equipment and supply needs for all Abu Dhabi Polytechnic academic records and registration functions. Makes purchasing decisions for the department.
- Responsible for maintenance and security of student academic records and for ensuring Abu Dhabi Polytechnic policies, procedures, and regulations that relate to this area are properly administered.
- Responsible for assuring accuracy and timely delivery of official transcripts.
- Responsible for providing enrolment and anticipated graduation date data to the different Managers.
- Responsible for assuring that the Student Information System is maintained for grading, class rosters, and updates it accordingly.
- Acts as final authority for assuring that graduation candidates meet all Abu Dhabi Polytechnic requirements of a degree.
- Develops, refines, and documents processes and procedures in the student records area.
- Responsible for schedules cancellation process and notification of students and faculty
- Responsible for reinstatement procedures.
- Responsible for development of departmental goals and objectives, long-range planning for department, monitoring and quantifying departmental goals and objectives, and fulfilling those goals and objectives.
- Responsible for faculty requests related to student records.
- Responsible for managing publication of catalogues and schedule of classes.
- Responsible for making decision on all student appeals related to academic records such as drops, adds, grade appeals, withdrawals, and graduation & consults with the respective heads of Departments.

- Responsible for grade processing, academic probation and suspension processing, and timely student notification of grades via and the students' banner.
- Contributes to the effective team management of all relevant problems, issues and opportunities.
- Supervises pre-registration, drop/add, declaration of pass/fail and audit, and maintenance of all registration programme in cooperation with admission office personnel.
- Supervises maintenance and accuracy of all students' records including posting major, minors, advisors, intended graduation dates, etc…
- Supervises mid-term and end-of-term grade processing.
- Within legal limitations and college policy, make records available and accessible to students, faculty, advisors and other authorized Abu Dhabi Polytechnic personnel.
- Supervises archiving of records through microfilm (when available).
- Generation of reports and statistical data as requested, internal and external.
- Processes applications for admissions. Ensures compliance with administrative policies and procedures. Assists students with the completion of forms. Reviews and verifies from for completeness and accuracy.
- Establishes and maintains student files, ensuring all personal, financial and academic records are kept current and accurate. Monitors student records to ensure compliance to academic regulations and programme requirements for graduation.

**Minimum Job Requirements:**
- Bachelor's Degree in student services, educational administration or a related area. Master's degree preferred.
- 3 years of direct experience or 5 years in related area. Ideally 5 years of direct experience in a college as a Registrar.
- Demonstrated understanding of the application of technology to deliver Records and Registration services.
- A positive attitude and ability to plan and adapt to change.
- Ability to collaborate effectively with college departments and cross-functional teams.
- Excellent oral and written English essential.
- Spoken and written Arabic.
- Proven record of successful supervisory experience in a people-oriented environment.
- A proven record in working successfully with diverse populations.

**Knowledge, Skills and Abilities required:**
The position requires an experienced employee who can work under pressure and:
- Can prioritize workloads, delivering on time
- Possess strong analytical and information organizational skills
- Excellent Interpersonal skills
- Proven Time Management skills
- An effective Team member
- A confident multitasker
- Can manage projects
- A logical and methodical documenter
- Keeps up to date with current trends by reading manuals, technical reports, periodicals etc.

### 1.14.16  Career Counsellor Coordinator

**Reports to:** Senior Coordinator of Student Services

**Supervises:** NA

**Purpose:** Reporting to Senior Coordinator of Student Services, the Career Counselor Coordinator facilitates students in identifying realistic and achievable employment goals.  The Career Counselor Coordinator will be responsible for establishing and maintaining links with local employers so as to facilitate opportunities for students graduating from the Abu Dhabi Polytechnic.  Additionally the role will involve academic advice and advice on further learning opportunities to enhance the graduates potential in the workplace.

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- facilitates life-long learning;
- utilizes technology.

**Duties and Responsibilities:**

- Interview students to obtain employment history, education background and academic goals.
- Administer and interpret tests designed to determine the interests, aptitudes and abilities of students.
- Collect labor market information for students regarding career choice and skill requirements.
- Counsel students on academic related issues.
- Assist students with completion of various components of the application process for training.
- Keeping up to date on programme changes and current labor market trends.
- Implement and manage academic and career fairs and visits.
- Manage a fairly large caseload.
- Ensure all files are complete and consistently current.
- Implement and maintain Abu Dhabi Polytechnic's Quality Assurance policies and procedures through application audit and continuous client feedback.
- Act as an Ambassador for Abu Dhabi Polytechnic, fostering relationships with both community and commercial representatives.

**Minimum Job Requirements:**

- Minimum Bachelor's Degree, preferably in Academic Guidance, Counseling or a related field.
- Ideally a minimum of 5 years within a similar role in an educational environment.
- Excellent oral and written English essential.
- Spoken and written Arabic helpful but not essential.
- A skilled personality profiler using the appropriate psychometric assessment tools.
- Ability to guide students to recognize their strengths and weaknesses and support them to acknowledge the same.
- Ideally some teaching experience.
- A skilled CV writer.
- Ability to utilize all media for the enhancement of the job role.

**Knowledge, Skills and Abilities required:**

- The position requires a mature individual who can easily relate to youth.
- Has a calm disposition.
- Has an engaging personality.
- Is a sound negotiator who can sell the benefits of youth employment to potential hirers.
- Is a good listener.
- Is not judgmental.

### 1.14.17   Library Coordinator

**Reports to:** Senior Coordinator of Student Services

**Supervises:**  NA

**Purpose:** The Library Coordinator is responsible for the day to day operations of the facility, ensuring collection availability and development, supported by service provision, in meeting the information needs of staff and students of Abu Dhabi Polytechnic.

**Context:**  Abu Dhabi Polytechnic is a learning organization.  As such, all employees strive for personal and institutional development within a culture of effectiveness that:

- values collaboration, teamwork and self;
- encourages ethical behavior;
- facilitates life-long learning;
- utilizes technology.

**Duties and Responsibilities:**

- Assists in the management, selection, acquisition and maintenance of Learning Resources Center (LRC) collections.
- Assists students in the development of information literacy & lifelong learning skills.
- Facilitate the integration of information literacy skills development within the curriculum.
- Acts as an advocate for information literacy across all programme areas.
- Works with faculty to develop LRC materials that enhance course offerings.
- Conducts training in research skills, develops information literacy skills tutorials.
- Develops electronic resources for students.
- Assists students and faculty in the use of automated information systems.
- Provides reference and information services to library users.
- Promotes reading for educational and recreational purposes.
- Promotes LRC services and resources to students and faculty.
- Participates in the ongoing development and maintenance of the LRC website.
- Assists in the supervision of students as appropriate.
- Maintain statistics & reports including the supplies inventory and compile supply orders.
- Provide technical and trouble-shooting support for LRC users.

**Minimum Job Requirements:**

- Graduate or post-graduate degree in Library and Information Science from a CILIP or ALA accredited institution, or equivalent.
- At least three years experience, preferably in an educational setting.
- Fluency in written and spoken English, Arabic an advantage.
- Proficiency in MS Office and ICDL certification is a must.
- Experience in the use of integrated library systems.

**Knowledge, Skills and Abilities required:**

- Strong interpersonal and public relations skills.

### 1.14.19 Senior Coordinator of Support Services

**Reports to:** Senior Manager, Student and Support Services

**Supervises:**
- Coordinator, Human Resources Personnel
- Coordinator, Information Technology
- Coordinator, Facilities

**Purpose:** The Senior Coordinator of Support Services provides high quality leadership to the facilities support staff at Abu Dhabi Polytechnic. The Senior Coordinator of Support Services will hold responsibility for leading the implementation of facility infrastructure that support the teaching and learning staff in the realization of the Abu Dhabi Polytechnic mission.

**Context:** Abu Dhabi Polytechnic is a learning organization. As such, all employees strive for personal and institutional development within a culture of effectiveness that:

- values collaboration, teamwork and self;
- encourages ethical behavior;
- facilitates life-long learning;
- utilizes technology.

**Duties and Responsibilities:**
- Manage the facilities support staff.
- Plan and implement a range of strategies to integrate better Abu Dhabi Polytechnic infrastructure into the workplace or Higher Education.
- Ensure that facilities technicians provide effective individual and staff services to alleviate problems with Abu Dhabi Polytechnic infrastructure.
- Coordinate and provide leadership to the Support Services staff to ensure effective communication with parents and stakeholders.
- Function as a key partner with local industry.
- Facilitate the development and implementation of Abu Dhabi Polytechnic facilities needs to support curriculum and project planning with the faculty and staff.
- Act as a role model for the support services team through managing the infrastructure environment, maintaining records, collaborating with faculty and staff, promoting staff development and developing themselves in a pro-active manner.

**Minimum Job Requirements:**
- Degree in a field related to facilities maintenance such as engineering, Masters is preferred.
- Minimum of 5 years of successful teaching experience and two years successful academic supervisory experience (with similar experience in post secondary management).
- Experience with teacher support and/or career development planning.

**Knowledge, Skills and Abilities required:**
- Committed to innovation in Teaching and Learning support initiatives, with a positive "can do" attitude and willingness to promote life-long learning across IAT.
- Well versed in the learning paradigm and project based learning.
- Strong written and verbal communication skills, good interpersonal skills and an ability to work with diverse groups of people.
- Sound understanding of technologies that support educational development and current with technology developments.

## 1.14.20   IT Coordinator

**Reports to:**  Senior Coordinator of Support Services

**Supervises:**  NA

**Purpose:** The IT Coordinator will be responsible for general maintenance of defined computer equipment and for the resolution of identified technical problems, as well as undertaking general tasks which will promote the use of IT across the curriculum.

**Context:**  Abu Dhabi Polytechnic is a learning organization.  As such, all employees strive for personal and institutional development within a culture of effectiveness that:

- values collaboration, teamwork and self;
- encourages ethical behavior;
- facilitates life-long learning;
- utilizes technology.

**Duties and Responsibilities:**

- Manage and maintain a safe, orderly, purposeful and productive working environment.
- Responsible for the accurate, timely preparation and presentation of specialist equipment, resources and materials.
- Demonstrate and assist others to use specialist equipment and materials and provide highly specialized advice and guidance as required.
- Comply with policies and procedures relating to protection, safety, security, confidentiality and data protection, reporting any concerns to the appropriate person.
- Install and test new software and make software available to appropriate users.
- Check new computer and IT equipment on arrival and install as appropriate.
- Liaise with the designated person responsible for the maintenance of the inventory.
- Supervision and maintain computer peripheral equipment such as scanners, printers, whiteboards, projectors; ensure that these are prepared and ready to be used.
- Assist the staff in the deployment of computer hardware around Abu Dhabi Polytechnic.
- Keep a log of all technical faults.
- Liaise with customer support units and school service desks to resolve faults speedily.
- Liaise with external suppliers for the repair of equipment under warranty or maintenance contract.
- Set up, maintain and remove user network accounts where appropriate (Win 2003, 2007 and Macintosh environments).
- Carry out routine network maintenance tasks and troubleshoot local servers and workstations specially MAC, DELL and HP models.
- Be familiar with the network infrastructure (cable and patch panels, hubs, Cisco switches, Cisco wireless access points, Cisco IP phones and Cisco routers) and keep a log of any damage to it.
- Follow supplier's recommended procedures.
- Undertake any other similar duties as required.

**Minimum Job Requirements:**

- Bachelor Degree/Higher Diploma in computer science/ engineering
- Minimum 5 years of relevant experience.
- MCSE, CCNA and APPLE support certifications are preferable.

**Knowledge, Skills and Abilities required:**

- Microsoft Office Suite.
- PC and MAC Hardware and Peripherals.
- PC and MAC Operating Systems and Application Software.
- Familiarity with LAN networking protocols.
- Microsoft Active Directory delegated domain administration.
- Apple Open Directory delegated administration.
- Be able to work on their own initiative.
- Demonstrate practical knowledge and problem-solving strategies.
- Have high quality inter-personal skills.
- Keep abreast of new developments in software and hardware.
- Be honest and trustworthy.
- Be respectful.
- Possess cultural awareness and sensitivity.
- Be flexible.

### 1.14.21  IT Technician

**Reports to:** IT Coordinator
**Supervises:**  NA

**Purpose:** The IT Technician functions as part of the IT services team and will primarily manage, administer and maintain the institute network and related infrastructures.

**Context:**  Abu Dhabi Polytechnic is a learning organization.  As such, all employees strive for personal and institutional development within a culture of effectiveness that:

- values collaboration, teamwork and self;
- encourages ethical behavior;
- facilitates life-long learning;
- utilizes technology.

**Duties and Responsibilities:**
- Advises and makes recommendations on improving performance and on providing additional and enhanced network solutions.
- Liaises with the Directorate network team on WAN and networking issues.
- Designs, implements and manages college network and related security requirements.
- Maintains a professional awareness of current best practice in the field of IT.
- Provides training to fellow team members and staff as required.
- Monitors and reports.
- Supports and troubleshoots the network infrastructure on a daily basis. Maintains disaster recovery plans, performs network monitoring and ensures accuracy of network documentation. Submits periodical reports and analysis such as traffic patterns, utilizations, etc.

**Minimum Job Requirements:**
- Bachelor's Degree in Computer Science.
- Current IT Certification is essential.
- Excellent written and spoken English skills.
- Minimum of three years relevant IT work experience in managing network operations. Experience in educational setting would be an advantage.

**Knowledge, Skills and Abilities required:**
- Extensive knowledge and experience in networking/wireless technologies and equipment including:
    a) TCP/IP, Internet technology, standards and routing protocols.
    b) Routers, switches, firewalls, IDA/IPS, content delivery and web filtering.
    c) Network management, security and authentication systems.
    d) PABX systems, Voice over IP and IP Telephony.
    e) Audio and Video conferencing systems including ISDN.
    f) Windows 2000 and 2003, Linux, Novell, Oracle Database, DNS and Novell.
- Demonstrated capacity and capability to work independently and in teams in a multicultural environment.
- Ability to work on several projects simultaneously under strict deadlines and under pressure.
- Displays a strong work ethic and be committed to continued professional development.
- Is innovative and creative in finding solutions to address network challenges within the institute.
- Displays a professional appearance and manner and has a developed sense of customer service.

## 1.14.22   Facilities Coordinator

**Reports to:**  Senior Coordinator of Support Services

**Supervises:**  Health and Safety Officer

**Purpose:** The Facilities Coordinator may be expected to work outside of 'normal' office hours (subject to requirement) to ensure that Abu Dhabi Polytechnic functions effectively, economically and safely. They control all cleaning, security, catering and maintenance contract staff, ensuring service provision is of high-quality and in accordance with Abu Dhabi Polytechnic procedures and standards.

**Context:**  Abu Dhabi Polytechnic is a learning organization.  As such, all employees strive for personal and institutional development within a culture of effectiveness that:

- values collaboration, teamwork and self;
- encourages ethical behavior;
- facilitates life-long learning;
- utilizes technology.

### Duties and Responsibilities:

- Manages Abu Dhabi Polytechnic's facilities, physical resources and support functions through well-defined procedures, on-going evaluation, and effective planning.
- Supervises the construction of new building, develops and implements an annual facilities management plan including: the facility, furniture and equipment requirements to meet international standards.
- Supervises cleaning, security, catering and all maintenance contract staff, ensuring service provision is of high-quality and in accordance with Abu Dhabi Polytechnic procedures and standards.
- Liaises on behalf of Abu Dhabi Polytechnic with contractors to undertake services required on an ongoing basis.
- Develops an annual operating and capital budget request and effectively communicates the proposal to Administrative Manager.
- Controls and monitors cost center expenditures against budget allocations in line with the Abu Dhabi Polytechnic policies and procedures.
- Coordinates with IAT Procurement Section for the purchases of capital equipment and supplies including management of all stages of the tender process in accordance with current procedures.
- Implements procedures to control and manage all Abu Dhabi Polytechnic assets including capital and consumable supplies within Abu Dhabi Polytechnic.
- Manages all contract services including catering, cleaning and security, air conditioning system, firefighting equipment, and elevator.
- Establishes implements and reviews all health and safety standards addressing, in particular, emergency evacuation, first aid and health emergencies.
- Directs training of workers to improve work performance and acquaints employees with the Abu Dhabi Polytechnic policies and procedures.

### Minimum Job Requirements:

- Bachelor's degree in Business Management or equivalent.
- Minimum 5 years of experience in facilities projects.
- Some facilities planning experience an advantage.
- Excellent oral and written English is essential.

- Spoken and written Arabic an asset.

**Knowledge, Skills and Abilities required:**

The position requires an experienced employee who works under pressure and:
- Can prioritize workloads, delivering on time.
- Possess strong analytical and information organizational skills.
- Excellent interpersonal skills.
- Proven time management skills.
- An effective team player.
- A confident multitasker.
- Can manage projects
- A logical and methodical documenter.
- Keep up to date with current trends by reading manuals, technical reports, periodicals, etc.

## 1.14.23   Health and Safety Officer

**Reports to:**  Facilities Coordinator

**Supervises:**  NA

**Purpose:**  The Health and Safety Officer is responsible for monitoring workplace health and safety risks and hazards, advising Division/Unit Heads, faculty, and all other staff on how to minimize or eliminate these risks and hazards, and carrying out health and safety audits as required.

**Context:**  Abu Dhabi Polytechnic is a learning organization.  As such, all employees strive for personal and institutional development within a culture of effectiveness that:

- values collaboration, teamwork and self;
- encourages ethical behavior;
- facilitates life-long learning;
- utilizes technology.

**Duties and Responsibilities:**

- Supports Abu Dhabi Polytechnic's quality assurance on health and safety matters.
- Coordinates the health and safety audit process.
- Meets on a regular basis with Abu Dhabi Polytechnic's staff to identify and eliminate, as much as reasonably practicable, risk and hazards.
- Liaises with Facilities Coordinator to ensure all contractors are working safely when on Abu Dhabi Polytechnic premises.
- Creates a safe and ensure learning and teaching environment.
- Provide necessary training to all staff as required.
- Maintain an awareness of all health and safety issues especially when work is taking place around the buildings and members of staff, trainees and the public are present, ensuring that all policies for all health and safety related matters are adhered to.
- Contribute in a positive manner to the implementation and management of an effective Heath and Safety Policy for all areas of the Abu Dhabi Polytechnic buildings.
- Ensure compliance to the statutory and policy requirements, paying particular attention to ensure that all fire equipment, signs and alarms are checked and maintained in good order and are correctly located in accordance with current documentation.
- Assist in the implementation of and adhere to the current policies and procedures for all security related matters.
- Contribute to the management of effective and efficient policies and procedures for safe working practices for staff and trainees.
- Operate an agreed system of key management/access control.
- Assist in the management and implementation of the car parking policy, including the control of car parking as and when required.

**Minimum Job Requirements:**

- Bachelor's degree in Business Management or equivalent.
- Minimum 3 years of experience in health and safety environments or projects.
- Some facilities planning experience an advantage.
- Excellent oral and written English is essential.
- Spoken and written Arabic an asset.

**Knowledge, Skills and Abilities required:**

The position requires an experienced employee who works under pressure and:
- Can prioritize workloads, delivering on time.
- Possess strong analytical and information organizational skills.
- Excellent interpersonal skills.
- Proven time management skills.
- An effective team player.
- A confident multitasker.
- Can manage projects
- A logical and methodical documenter.
- Keep up to date with current trends by reading manuals, technical reports, periodical, etc.

### 1.14.24   Human Resources Coordinator

**Reports to:**  Senior Coordinator of Support Services

**Supervises:**  Public Relations Officer

**Purpose:**   The Human Resources (HR) Coordinator plans, supervises, and executes the necessary activities to ensure that Abu Dhabi Polytechnic HR is managed in a planned, efficient and confidential manner based upon best practice. They build and maintain staff satisfaction levels by ensuring that all matters relating to staff welfare e.g. benefit payment, accommodation, healthcare and any other non-job related issue never become cause for concern. They act as a portal for the dissemination of information on all issues relating to HR and welfare whether from the Abu Dhabi Polytechnic level, Directorate or Government.

**Context:**  Abu Dhabi Polytechnic is a learning organization.  As such, all employees strive for personal and institutional development within a culture of effectiveness that:

- values collaboration, teamwork and self;
- encourages ethical behavior;
- facilitates life-long learning;
- utilizes technology.

### Duties and Responsibilities:

Ensure the effective and efficient operation of all aspects of HR Services at the Abu Dhabi Polytechnic which encompasses the following:
- Research, design and implement HR best practice policies and procedure for the benefit of Abu Dhabi Polytechnic.
- Advise Abu Dhabi Polytechnic staff and Management on matters relating to IAT HR Regulations, Regional Employment law and current HR best practice.
- Ensure the maintenance of HR records, including all aspects of holiday, special leave and sickness is recorded accurately and appropriately.  Ensure that all documents required by the auditors are provided by staff and copies are maintained in personnel file.
- Ensure that development and maintenance of the payroll is carried out and staff benefits are paid on time.  Liaise with Directorate payroll section regarding payment of vacations, sickness and benefits.
- Participate in disciplinary reviews, sensitive staff meetings.
- Advise and counsel staff members as and when required.
- Monitor increment payments, renewal and termination of contracts.
- Generate and monitor payment of additional duty and leave assignment payments.
- Monitor and ensure information and documentation of the Medical Insurance policy is implemented. Liaise with the directorate healthcare liaison officer regarding the facilitation of staff enrolments/resignations from the healthcare policy
- Where appropriate, arrange and conduct interviews with candidates, liaise with recruiting supervisors, ensure reference checks are obtained for all candidates. Liaise with Directorate recruitment section.
- Ensure smooth recruitment and arrival process of new hires including flight and hotel booking. Ensure housing and visa arrangements are carried out by appropriate officers.
- Develop and coordinate orientation initiatives for new staff at a social level and liaise with faculty concerning teaching orientation.
- Ensure a smooth exit process for departing staff ensuring that all exit requirements are met and end of service payment have been received. Liaise with the Housing and PRO Officer to ensure accommodations are vacated and residence visas cancelled.

- Ensure that all staff are informed of policy changes and other general information concerning the Human Resources area and staffing issues.
- Ensure Job Descriptions are reviewed and updated on a regular basis.
- Participate and play an active role in any committees set up by the Central Human Resources Department, Abu Dhabi.
- Maintain an 'open door' policy to deal with all staff HR and welfare issues. Direct staff to the appropriate source of information or help if unable to deal with the issue or seek the help or information on their behalf. The HR Officer should maintain an 'in your shoes' approach to staff at all times.
- Must respond to staff requests swiftly, effectively and maintain communication to resolution.
- Act in a welfare capacity on issues relating to staff/family health issues. Occasionally deal with death in service issues.

**Minimum Job Requirements:**

- Bachelor's degree in Human Resource Management or equivalent.
- Excellent oral and written English essential.
- Spoken and written Arabic helpful but not essential.
- Minimum 5 years Human Resources related experience.
- Proven experience managing and supervising a busy Human Resources department.
- Ideally experience operating within a multicultural environment
- Computer literate

**Knowledge, Skills and Abilities required:**

- The job requires tenacity and the ability to multitask.
- Patience and determination are a must
- Ability to track work and work through to resolution.
- Requires high degree of professionalism and the ability to deal with all matters with the utmost confidentiality and diplomacy.
- Ability to remain calm under pressure
- Ability to deal with employee situations that may be of a delicate nature and very personal with the utmost sensitivity.
- Strong requirement to work and make decisions independently.
- Must be able to file accurately
- Must be able to use mainstream software i.e. Word, Excel PowerPoint etc.

### 1.14.25   Public Relations Officer

**Reports to:**  Human Resources Coordinator

**Supervises:**  NA

**Purpose:**  Reporting to the HR Coordinator, the Public Relations Officer will be responsible for ensuring that all staff employed by Abu Dhabi Polytechnic has the legal right to do so by facilitating the visa process for an employee and family's initial entry to the UAE and subsequent residency. The PRO gives help and advice to staff on government related issues. The public relations officer actively seeks accommodation on behalf of incoming staff and will assist the staff member with contract negotiation and contract resolution issues. The PRO liaises with the social orientation programme for new arrivals which will involve airport pick-up's and may involve shopping trips, opening bank accounts sourcing furniture, assisting with school placements etc and the departure process for resigning staff which will involve housing checks and clearances.

**Context:**  Abu Dhabi Polytechnic is a learning organization.  As such, all employees strive for personal and institutional development within a culture of effectiveness that:

- values collaboration, teamwork and self;
- encourages ethical behaviour;
- facilitates life-long learning;
- utilizes technology.

### Duties and Responsibilities:

- The primary role is to ensure that all personnel employed within the Institute of Applied Technology are legally entitled to do so.
- On receipt of documents from Personnel Department, complete necessary documentation to secure employment visas for new staff either from overseas or who do not have residency, this must be done before they arrive
- For overseas employees the PRO will ensure that the employment visa is deposited at the arrival point (usually the airport) for collection
- For residency visas and transfers, the PRO will prepare the required documentation and will escort the new arrival/transfer through the required medical process.  The process should take no more than 5 days.
- The PRO will prepare documentation and advise staff on the visa renewal process
- The PRO will be responsible for the budget allocated for the costs of acquiring or renewing visas
- The PRO will act as focal point for queries related to visa sponsorship for dependants/maids
- The PRO will give advice and assistance on all government matters relating to Immigration, Traffic Department, import of pets etc.
- The PRO will act as liaison between all governmental departments and staff, will mediate on legal matters, for example traffic accidents, jail sentences, and hospital admissions and will assist with the process of repatriation or internment of human remains.
- The PRO will ensure that the visa is cancelled/transferred for all departing employees
- Identifying suitable accommodation for incoming staff
- Negotiating fair leases
- Ensuring fairness during tenancy
- Where the tenancy is held by IAT, the incumbent should liaise with the landlord on issues relating to the tenancy agreement and any maintenance issues.

- The PRO will ensure that the property is maintained in a habitable state by the tenants and that any damage or undue wear and tear is repaired prior to leaving or at least is paid for.
- The PRO will also be responsible for ensuring that all utility bills attached to the property are paid before departure

**Minimum Job Requirements:**

- Ideally educated to Bachelor level
- Native Arabic speaker with excellent written and spoken communication skills
- Ideally Fluent in both spoken and written English
- Ideally 3 years of related experience within a similar role
- Experience within a customer focused environment
- Experience with Government Departments

**Knowledge, Skills and Abilities required:**

The position requires an experienced employee who can work under pressure and
- Can prioritize workloads, delivering on time
- Excellent Interpersonal skills
- Proven Time Management skills
- A confident multitasker
- An effective mediator
- Can quickly evaluate a situation and provide effective solutions
- Ability to work alone or as part of a team
- A keen negotiator.

### 1.14.26   Nurse

**Reports to:** Senior Coordinator of Student Services

**Supervises:** NA

**Purpose:** The Nurse is responsible for the day to day health care needs of students and facility, ensuring immediate care is availability and can access emergency services when needed in an expeditious fashion.

**Context:** Abu Dhabi Polytechnic is a learning organization. As such, all employees strive for personal and institutional development within a culture of effectiveness that:

- values collaboration, teamwork and self;
- encourages ethical behavior;
- facilitates life-long learning;
- utilizes technology.

**Duties and Responsibilities:**

- Assists in the daily health care of students, faculty, and staff.
- Assists students in health care advice.
- Facilitates the integration of health information within the curriculum.
- Acts as an advocate for healthy living across all programme areas.
- Works with faculty to develop health-related materials that enhance course offerings.
- Conducts training in emergency preparedness and procedures.
- Develops electronic resources for students.
- Assists students and faculty in the use of automated health information systems.
- Provides reference and information services to library users.
- Promotes reading for educational and recreational purposes.
- Maintain statistics and reports including the supplies inventory and compile supply orders.

**Minimum Job Requirements:**

- Graduate or post-graduate degree in health-care related field, or equivalent.
- At least three years experience, preferably in an educational setting.
- Fluency in written and spoken English, Arabic an advantage.

**Knowledge, Skills and Abilities required:**

- Knowledgeable about the health care profession and its practice.
- Mature individual who can easily relate to youth.
- Has a calm disposition.
- Strong interpersonal and public relations skills.

### 1.15     Multiple Campus Policy

### 1.15.1     Description of the Policy

This policy describes the approach taken to provide academic and administrative consistency in the delivery of programs at ABU DHABI POLYTECHNIC premises in both Abu Dhabi and Al Ain campuses.

### 1.15.2     Rationale

The academic profile of each campus is planned according to the Abu Dhabi Polytechnic's strategic objectives to be responsive to the needs of its community and to offer the best possible educational experience to the students at that campus. Therefore, the academic profile of campuses will have areas of shared curriculum as well as shared administrative function.

The rationale for improved levels of cross-campus consistency, as set out in these guidelines, includes:

- Strengthening the overall academic profile and improving teaching and learning outcomes in both campuses

- Facilitation the student transfer process from one campus to the other

- Providing the preconditions for vibrant, engaged courses and programs

- Benefiting students through consistent standards and expectations in both campuses.

- Using more effectively staff expertise in both AD and AA and the investments in educational resources

- Aiding the marketing of the Abu Dhabi Polytechnic's programs in AD and AA.

### 1.15.3     Practice Title

Where a program is offered on more than one campus, it will have an identical title and will lead to an identical award, as approved by the Academic Committee. The program offerings on each campus may have a separate program code to aid administration.

**Program Structure**

Where a program is offered on more than one campus, it will have identical admission requirements. The program will also have identical degree requirements which prescribe the program's length, total credit points and general organization. The structural framework of the program (not content), in terms of core requirements, the contribution of academic plans (majors, minors, specializations, strands, streams, teaching areas) and the credit points available for elective study, are identical. The General Requirements and core requirements will comprise of an equivalent set of courses for both campuses.

### 1.15.4     Sequencing and Mode of Offer

The sequencing of courses within the program is identical on both campuses.

**Courses**

Courses offered in both campuses are identical. Identical means that the course will have the same title, the same credit points and the same learning outcomes. The content will be equivalent to the extent necessary to support the learning outcomes. The assessment will be conducted to ensure equivalent outcomes and standards. The course code will be identical.

For a given semester there shall be only one course outline per course code. The course outline is to contain information which is specific to each campus location.

In cases other than courses comprising the core requirements of a program, courses offered on different campuses will have identical learning outcomes and equivalent content. In these cases, also, the courses will be identified as a single course and will be equivalent across the campuses.

Where a course is offered on more than one campus, there will be mechanisms to ensure that:

- There is appropriate communication between the teaching teams at each campus. This is done through the Course Coordinator the teachers themselves and the Head of School with the weekly meetings with the staff in AD and AA through the video and telephonic conferencing

- The teaching resources are consistent between the campuses; ( Courses are coordinated by one academic who leads the team on both campuses one relation to one course).

- The assessment standards are consistent; (Each course has identical assessment items, weighting and timing of assessment. Exams are run at the same time and on the same day, inter-rater reliability is checked prior to marking commencing and all fail grade work is cross marked to ensure inter-marker reliability).

- Course evaluation is conducted in a consistent manner and evaluation results are reviewed across campuses by the Course Coordinator;

- The course outlines are maintained as consistent documents. (Courses are coordinated by one academic who leads the team on both campuses one relation to one course).

### 1.15.5    Moving between Campuses to take Preferred Majors or Electives

Where a program is offered on a campus, then the student must generally be able to undertake a study program which satisfies the requirements of the degree at that campus. If there is a requirement for students to travel to another campus for personal reasons, the rationale for this must be approved by the Academic Committee and the requirement must be communicated clearly to students at the time of their admission.

For management of resources across the campuses, students admitted to a program will generally be admitted to the program at a particular campus. Students wishing to change to another campus must apply for transfer via an internal transfer application.

### 1.15.6    Role of Course Coordinator

Course Coordinators are responsible for overseeing the administration of academic courses at all campuses and teaching sites. This ranges from pre-semester planning to ensuring that all lecturers deliver the teaching and assessment of courses to students to a high and consistent quality and standard, moderating assessment across campuses and managing final student results. The Course Coordinator ensures:

- That there is a clear articulation of both learning objectives for the unit, and assessment procedures for each item of assessment, which are understood by all teachers in both sites.

- All teachers in both sites contribute to the development of all items of assessment including the preparation of examination questions and sighting of the final examination.

- Through implementation of strategies, equivalence of assessment standards across

campuses.

- To ensure demonstrably equivalent assessment tasks with identical weights are undertaken by all students at all campuses;

- To ensure assessment tasks do not disadvantage any student campus cohort.

- To ensure comparability of assessment between markers. A range of techniques will be used to ensure the equivalence of assessment across both campuses including:

- Using a detailed written marking guide for each item of assessment;

- Training of assessors to ensure a common interpretation of the marking guide;

- Using one assessor or assessment team for each item of assessment across all campuses where such arrangements are practicable;

- Second-marking a selected sample of items of assessment to validate assessment standards and interpretation of the marking guide across campuses;

- Exchanging samples of graded items of assessment between assessors;

- Review randomly the results obtained by each campus cohort for each assessable task to ensure equivalence and comparability.

### 1.15.7    Role of Head of Department

Head of Department must be aware of all activities, minor breakdowns or needs for resources in relation to any course offered by their Program at all venues. The Head of Department stationed in AD shall make sure that policies relating to consistency across campuses are implemented:

- There will be only one unit outline for all courses. The unit outline is to contain information which is common to both campuses.

- There is appropriate communication between the teaching staff at each campus;

- The assessment tasks and standards are equivalent and are reviewed across campuses;

- The teaching resources are comparable between the campuses, and are shared between the campuses where relevant;

- The unit evaluation is conducted in a consistent manner and that evaluation results are reviewed by the course convener who may be stationed in AD or AA.

### 1.15.8    The Role of Abu Dhabi Polytechnic Director

The Abu Dhabi Polytechnic Director ensures consistency between both campuses through the Management Committee that ensures the representation of key administrative and academic personnel from both AD and AA.

### 1.15.9 Guidelines for Cross-Campus Consistency

This policy describes the approach to be undertaken by course and program designers in order to achieve improved levels of cross-campus consistency in academic planning, including program titles, program structural frameworks, core curriculum, majors, and electives and credit.

### 1.15.10 Rationale

The academic profile of each campus is planned according to the Abu Dhabi Polytechnic's strategic objectives to be responsive to the needs of its community and to offer the best possible educational experience to the students at that campus. Therefore, the academic profile of campuses will have areas of shared curriculum as well as campus specific specialisations.

The rationale for improved levels of cross-campus consistency, as set out in these guidelines, includes:

- Strengthening the overall academic profile and improving teaching and learning outcomes;
- Providing the preconditions for vibrant, engaged courses and programs;
- Benefiting students through consistent standards and expectations;
- Using more effectively staff expertise and the investments in educational resources; and
- Aiding the marketing of the Abu Dhabi Polytechnic's programs.

### 1.15.11 Applicability

Where two programs have the same or substantially similar learning outcomes, these programs will be considered to be a single program, even though they may be offered on different campuses.

The decision on whether a program will be offered on more than one campus is a strategic decision made in the context of the ABU DHABI POLYTECHNIC Academic Plan, the strategic profile of the campuses and the relevant Division's strategic priorities for its academic profile.

Where the decision is made to offer a program on more than one campus, these guidelines will apply.

These guidelines apply to undergraduate and coursework postgraduate programs.

### 1.15.12 Principles

**Maximum use of Expertise**
Abu Dhabi Polytechnic will bring the widest set of expertise available within the Abu Dhabi Polytechnic and its affiliates to contribute to the program, sharing best practice in pedagogy, curriculum and educational resources and contributing to continuous improvement of the program.

**Efficient use of Resources**
The Abu Dhabi Polytechnic will promote the efficient use of its resources – physical, staff, curriculum and educational resources – through optimizing the consistency in program structure, curriculum and course content across campuses.

### Coherence and Consistency of Presentation

The Abu Dhabi Polytechnic will present a coherent and consistent image to:

- Potential students

- Current students

- The external community including parents, advisors, schools, employers and accrediting bodies.

## 1.15.13   Practice

### Title

Where a program is offered on more than one campus, it will have an identical title and will lead to an identical award, as approved by the Academic and Assessment Committee. The program offering on each campus may have a separate program code to aid administration.

### Program Structure

Where a program is offered on more than one campus, it will have identical admission requirements. The program will also have identical degree requirements which prescribe the program's length, total credit points and general organization. The structural

framework of the program (not content), in terms of core requirements, the contribution of academic plans (majors, minors, specializations, strands, streams, teaching areas) and the credit points available for elective study, should be consistent. The core requirements will comprise an equivalent set of courses.

### Distinct Academic Plans

A campus offering of a program may include one or more academic plans (majors, minors, specializations, strands, streams, and teaching areas) which are distinctive to that campus. This is not only permissible but in appropriate situations it is highly desirable.

The fact that a particular academic plan is only offered at a particular campus must be clearly communicated in program information for prospective students.

### Sequencing and Mode of Offer

There is no requirement that the sequencing of courses within the program be identical on all campuses, provided that the sequence of courses is consistent with pre-requisite requirements.

There is no requirement that the mode of offer of the program on multiple campuses be identical in terms of intensive teaching periods, summer semester offerings, on line courses, courses timetabled to suit part-time students, and so on.

### Electives

Not all elective courses are required to be offered at each campus, but the courses which are listed in the program structure as recommended or specified electives will include the electives available on each campus.

### Courses

When a program is offered on more than one campus, the courses which comprise the core requirements of the program shall be equivalent at each campus.

Equivalent means that the course will have the same title, the same credit points and the same learning outcomes. The content will be equivalent to the extent necessary to support

the learning outcomes. The assessment will be conducted to ensure equivalent outcomes and standards. The course code will be identical.

For a given semester there shall be only one course outline per course code. The course outline is to contain information which is specific to each campus location. More detailed course information and campus specific information is available to students via Course Coordinators.

In cases other than courses comprising the core requirements of a program, courses offered on different campuses may have identical learning outcomes and equivalent content. In these cases also, the courses will be identified as a single course and will be equivalent across the campuses.

Where a course is offered on more than one campus, in our case Abu Dhabi and Al Ain there will be mechanisms to ensure that:

- There is appropriate communication between the teaching teams at each campus;
- The assessment standards are consistent;
- The teaching resources are consistent between the campus, and are shared between the campuses where relevant;
- Course evaluation is conducted in a consistent manner and that evaluation results are reviewed across campuses;
- The course outlines are maintained as consistent documents.

### 1.15.14   Campus Specific Experience

The characteristics of a campus, its resources and community location may provide for an educational opportunity for students on that campus which is not practicable for students at other campuses. In such cases, it is permissible under these guidelines for a course based on the campus specific experience to be included in the program structure at that campus, in place of a course which is a core requirement at other campuses.

### 1.15.15   Suite of Related Programs

Where a program is part of a family of related programs, such as various exit points, Honors programs, advanced programs, it is desirable that the full suite of related programs will be offered on each campus where one of the programs is offered.

### 1.15.16   Moving between Campuses to take Preferred Majors or Electives

Where a program is offered on a campus, then the student must generally be able to undertake a study program which satisfies the requirements of the degree at that campus or at another campus. If there is a requirement for students to travel to another campus in order to meet degree requirements, the rationale for this must be approved by the Academic and Assessment Committee and the requirement must be communicated clearly to students at the time of their admission. Abu Dhabi students can take clinical courses in Al Ain if they wish.

For management of resources across the campuses, students admitted to a program will generally be admitted to the program at a particular campus.   Students wishing to change to another campus as their home campus must apply for transfer via an internal transfer application.

A student may choose to take courses and/or academic plans at a campus other than the student's first campus. The Head of the Program in Abu Dhabi needs to organize with Al Ain campus and his decision is final.

# SECTION 2 - STAKEHOLDER RELATIONSHIPS AND SERVICES

## 2.0 Introduction

This section outlines the IAT's policies and procedures relating to its functions and relationships with all of the stakeholders with whom it works.

Included in this section is the following:

- Funding agreements
- Project management
- Consultation
- Conferences
- Publications
- Website
- Media
- Sponsorship
- Complaints handling
- Privacy

## 2.1 Funding Agreements

Abu Dhabi Polytechnic is committed to maintaining positive working relationships with stakeholders and meets all funding agreement requirements in a timely and efficient manner.

Liaison with funding agencies is the responsibility of the Director in the first instance, while the Senior Manager of Student and Support Services, through the Finance Coordinator, manages compliance issues.

Abu Dhabi Polytechnic's funding agreements are maintained in the Finance Coordinator's office and access to funding agreements is by permission of the Director only. Staff or Board members may take a copy of the original agreements for their own records but the Director signed copy must remain with the Finance Coordinator.

## 2.1.1 Funding agreement terms and conditions

The terms of funding agreements are detailed in contracts signed between Abu Dhabi Polytechnic and suppliers or partners. As a minimum these agreements will include the following:

- Performance monitoring and evaluation arrangements.
- Specific function and performance indicators.
- Service specifications outlining goals and targets for the current funding period (or beyond by special agreement).
- Compliance with relevant services standards and statutory requirements.
- Reporting requirements.
- Management arrangements (including delegated authority).

- Staffing and volunteering (if applicable) arrangements.
- Confidentiality.
- Asset management, insurance and indemnity.
- Procedures in the event of a dispute or termination of funding agreement.
- Conditions under which termination of the agreement may be imposed.

Abu Dhabi Polytechnic is fully committed to meeting the performance targets specified in any agreement into which it enters, and complying with the reporting requirements.

## 2.2      Project Management

The achievement of agreed goals and objectives is an important element of Abu Dhabi Polytechnic's operations. Such goals and objectives are found in all areas of Abu Dhabi Polytechnic, from the education that post-secondary students undertake, to the creation of learning programmes aimed at building or enhancing the economic prospects of the UAE as a whole. At the same time Abu Dhabi Polytechnic is regularly involved in civil projects such as building new colleges and campuses, or community projects such as aiding the civil powers during national emergencies.

In deciding whether or not to pursue a particular project Abu Dhabi Polytechnic will consider the following:

- Policy priorities. This involves an assessment of the project in terms of Abu Dhabi Polytechnic's policy priorities and Strategic Plan, the likely outcomes and impact of the project, the urgency of the issue, and possible benefits for the Institute's client or key stakeholder base.

- Appropriateness of the Institute's involvement. Consideration is given as to whether Abu Dhabi Polytechnic can add value to the project, whether another agency may be more appropriate, and what participation in the project offers to Abu Dhabi Polytechnic in terms of staff development, resources, organisational profile, and achievement of the Institute's vision and mission.

- Potential risks to Abu Dhabi Polytechnic through participation.

- Effectiveness of Abu Dhabi Polytechnic, for example, does Abu Dhabi Polytechnic have sufficient networks, capability, resources necessary to support the project and ensure its success? More importantly is whether or not Abu Dhabi Polytechnic will be capable of providing effective support to the project or if participation will take resources and concentration away from other, more important, projects.

In the event that Abu Dhabi Polytechnic has a need to become involved in a project which might only have long term strategic outcomes the above issues will be addressed as risks in the planning and management of the project.

## 2.2.1      Project development

Staff of Abu Dhabi Polytechnic proposing a project should discuss the idea first with their direct line manager or the Director.  If it is agreed that there are sufficient grounds for investigating the proposal further then the staff member is to complete a Project Proposal Form. This is then forwarded to the appropriate director for discussion with the Director and, where appropriate, the IAT Director General and/or Chairman of the Board.

When developing an argument for a proposal staff are to consider the impact of the project, should it be approved, on other elements of Abu Dhabi Polytechnic. In particular is the following:

- Other staff. Will this project disrupt the work of other staff, cause them to be diverted from projects on which they are currently working, or add undue pressure on their existing workload?

- Financial and administration resources. Are there sufficient funds for the project (remembering that there is always a long lead time between when projects contracts are signed and the first payments begin to arrive)? Do we have sufficient resources to support the project?

- Internal and external communications. How will others be informed, and continue to be informed, about the project, their roles and responsibilities in its implementation, and its impact on the overall strategic and business plans?

The issues that arise out of consideration of the impact the project may have on these areas should be reflected in any documentation presented for consideration. The issues should be discussed first with the staff members concerned and their thoughts included in the proposal.

All new projects require approval from the Director and in some instances from the IAT Director General and/or Board of Trustees. Approval will not be given if there is a possibility that to do so will be to the detriment to others projects and activities being undertaken across the Institute.

### 2.2.2 Project management

The following policies and procedures apply to all projects:

### Project Manager

All projects are to have one person who is ultimately responsible for the way in which the project is designed, planned and managed. This person is the central contract for the project and has the authority to make decisions on its behalf.

The project manager is responsible for ensuring the following:

- That the project is properly planned and resourced.

- The project is completed within the agreed timeframe, at a reasonable cost, and to a standard acceptable to the end-user(s).

- Project staff are appropriately supervised and the work of consultants is managed in accordance with agreements and contracts.

- The relevant financial and performance requirements are met.

- What was set out to be achieved is, at the conclusion of the project, what is actually achieved.

- What is achieved is fit for the purpose to which it will be put.

### Project Plan

The project manager is to submit a project plan to the next higher authority for approval before the project commences. This plan is to incorporate the key elements of project planning and management as defined in the Project Management Institute's publication A Guide to the Project Management Body of Knowledge ®.

A summary of the plan, detailing the scope of the project, milestones and key check points, budget and key performance indicators, is to be given to the project manager's line manager

or director. The project manager is to provide regular updates on the status of the project against this summary.

## Record keeping

The project manager will provide the Finance Coordinator with a file containing the following information:

- The original submission, including the budget submitted for funding.
- The budget.
- Any funding or contractual agreement, including agreements or contracts with consultants.
- Any other relevant correspondence.

This file will form the central repository of financial and contractual records and the project manager will ensure that any correspondence with the funding agency (if any) and consultants are added to this file as the project progresses.

The Finance Coordinator will ensure that all correspondence received by them in relation to the project is copied to the project manager.

## Communications

The project manager will ensure that all relevant sections of the Institute are kept informed about their role in the project, including timelines and quality expectations of the support they are providing to the project.

The project manager will report regularly to the line manager or director on the progress of the project. Any issues concerning bottlenecks or hold ups in support to the project are to be highlighted and recommendations for alleviating them discussed.

## Finalising the project

The project manager will ensure that all obligations under the funding and performance agreement have been met and that all reports and publications have been finalised. A brief evaluation of the project is to be conducted emphasising the aspects of the project that worked particularly well, those which didn't, and any recommendations for future projects.

## 2.3      Conferences and Exhibitions

Conferences and exhibitions are essential forums through which Abu Dhabi Polytechnic exchanges information internally and externally, builds networks and enhances professional development at all levels of Abu Dhabi Polytechnic. Abu Dhabi Polytechnic manages an ongoing programme of conferences and exhibitions according to the priorities identified in the Strategic Plan.

Responsibility for the organisation and implementation of a conference or attendance at an exhibition is delegated within the planning process. Often this may involve different staff members taking responsibility for different tasks (e.g., speakers, venue preparation, marketing and promotion etc.). Tasks which must be performed and therefore delegated to one or more staff members generally include the following:

- Scoping the conference/exhibition – laying out clearly the purpose of the conference or attendance at the exhibition, what expectations there are for being involved, a draft budget and list of resources required, a timetable, and a risk

management plan identifying potential barriers to the achievement of desired outcome and what recommendations there are for managing them.

- Finances – developing a detailed budget and sourcing funds.
- Liaising with managers – for the release of staff, use of facilities and/or resources etc.
- Approaching potential speakers.
- Seeking sponsorship.
- Arranging venues.
- Promoting the conference/exhibition.
- Registrations as appropriate.
- Design and development of support material – for example brochures, exhibition stands, posters, presentation/lecture area, lighting etc.
- Preparing conference papers and kits.
- Organising materials to be taken to the conference, set up, distributed, and collected afterwards and returned to storage.
- Preparing a post-conference/exhibition report.

The Finance Coordinator is responsible for coordinating and managing the budget in consultation with the staff member(s) organising the event. The final budget for any conference or exhibition must be approved by the Director prior to entering into any agreements with exhibitors, speakers, venue management teams etc. The final programme should also be approved by the Director before distribution.

### 2.3.1    Evaluation

Abu Dhabi Polytechnic routinely conducts an evaluation of any conference that it organises, exhibitions it attends, or workshop that it arranges as a matter of good practice and continuous improvement in line with the Institutional Effectiveness plan. The specific form of evaluation may vary according to the nature of the activity or any requirement that a funding body, for example, may have insofar as evaluation is concerned. Staff members who are delegated responsibility for organising any of these activities need to take evaluation into account in the planning process and allocate sufficient time and resources to effectively carry it out.

### 2.4    Publications

Abu Dhabi Polytechnic produces a range of publications, some for sale others available free of charge. For example, conference papers and reports may be published if there is a significant demand for them. A publication may be the result of a specific project or as part of a larger project and will therefore be identified as part of the project planning process.

A Style Guide is available to assist staff with referencing Abu Dhabi Polytechnic publications, however approval must be granted by the staff member's supervisor before any material is published on behalf of Abu Dhabi Polytechnic or bearing Abu Dhabi Polytechnic's logo.

Abu Dhabi Polytechnic has in-house design and printing capability, however the supervisor's permission must be gained prior to sending anything to print. This means that approval timeframes must be factored into the planning processes.

### 2.4.1    Abu Dhabi Polytechnic Website

Abu Dhabi Polytechnic's website is an important means through which Abu Dhabi Polytechnic can provide information to the public, prospective students, and the community. For many stakeholders the Abu Dhabi Polytechnic website is their first contact with Abu Dhabi Polytechnic.

The website provides public information on Abu Dhabi Polytechnic, including information about the Governance, staff, the Strategic Plan, social policies, upcoming activities, campuses, and contact details. Submissions and conference papers are also often uploaded to the website.

The Web Manager is responsible for all web design, site content and maintenance. Staff wishing to post information onto the website, or amend information which is currently there, should contact the Web Manager in the first instance. However approval must be gained from the staff member's director before changes can be made to information found on the website or any new information added.

## 2.5    Working with the Media

Abu Dhabi Polytechnic regularly uses the media to publicise its successes and provide information regarding forthcoming events. The Director generally acts as media spokesperson for Abu Dhabi Polytechnic. In some instances the IAT Director General or Chairman of the Board will also act in this role, and in some cases the role will be delegated to another staff member. All requests from journalists for comment by Abu Dhabi Polytechnic are to be referred to the Director in the first instance.

Other Board members or staff of Abu Dhabi Polytechnic are not to represent Abu Dhabi Polytechnic or provide information to journalists without authorisation from the Director or (in their absence, the IAT Director General or Chairman). Staff members can provide background information to journalists provided that they will not be quoted. Wherever possible, approval must be received from the Director before any information is provided. Similarly, liaison with government officials or politicians should only take place with the approval of the Director.

When seeking or responding to media coverage of issues, the Director will consider Abu Dhabi Polytechnic's strategic priorities, capacity to influence public debate, and the impact that such media coverage will have on Abu Dhabi Polytechnic and its activities. The Director may delegate other staff members to speak to the media or seek background information or consult with other non-government organisations. Abu Dhabi Polytechnic does not, under any circumstances, respond to issues that are outside of its scope of business and will not make critical comment on other government agencies or government policy unless the issues have been previously raised with, and approval to do so given, by the government.

## 2.6    Sponsorship

Abu Dhabi Polytechnic welcomes sponsorship for its events, or advertising in its publications, from private companies, individuals, government agencies, or non-profit, non-government organisations. Sponsorship is particularly when conducting conferences as it helps to reduce the costs to Abu Dhabi Polytechnic for its participation.

In planning an event, Abu Dhabi Polytechnic considers the target audience, interested stakeholders and potential sponsors. If it is deemed appropriate and beneficial to seek sponsorship the Director will forward correspondence to potential sponsors outlining the event and request for a contribution. This correspondence may be prepared by the staff member organising the conference and forwarded to the Director for signature.

Abu Dhabi Polytechnic acknowledges the contribution of its sponsors. This may involve one or more of the following:

- Including the sponsor's logo on conference kits and papers.
- Allowing the sponsor to set up a display at an event or hang a banner or posters.
- Acknowledging sponsorship in any opening and/or closing address; and/or
- Offering free participation to a sponsor's representatives.

Abu Dhabi Polytechnic will not accept sponsorship or advertising from organisations or individuals that are engaged in business which is unlawful, unethical, contrary to the beliefs of the Emirati people, or damaging to public health and wellbeing.

Furthermore, Abu Dhabi Polytechnic will not accept sponsorship or advertising, or agree to any conditions of sponsorship, which may compromise its independence or the purpose of the particular publication or event.

## 2.7     Complaints Handling

Abu Dhabi Polytechnic recognises that complaints, grievances and disputes may occur within an organisation. It also recognises that external bodies may need an avenue to raise complaints or concerns they have with Abu Dhabi Polytechnic. Should they arise, complaints and disputes will be handled fairly and efficiently in order to promote and maintain professional standards and quality relationships between staff and with external bodies. Abu Dhabi Polytechnic is also committed to ensuring that a positive work environment is maintained at all times.

### 2.7.1     General principles

All complaints and disputes will be addressed promptly and within the guiding principles of:

- transparency;
- fairness;
- respect; and
- accountability.

All members and staff of Abu Dhabi Polytechnic are expected to work cooperatively as a team, to acknowledge any dispute at an early stage, and to resolve any dispute in the most constructive and positive manner possible.

Any conflict of interest arising from a dispute is to be declared and all steps will be taken to ensure persons working to resolve a dispute are impartial. Members and staff are expected to maintain confidentiality in relation to complaints and disputes.

### 2.7.2     Complaints involving staff

The Abu Dhabi Polytechnic Board of Trustees delegates responsibility for resolving complaints or disputes involving staff member to the Director except in cases where they may have an interest in the dispute either personally or professionally. In such cases the dispute will be heard by the IAT Director General or Chairman or a Board member delegated to deal with it.

Where a staff member makes a complaint concerning another staff member, this will be dealt with in accordance with the grievance procedure set out in Section 3 – Human Resource Management. Where a complaint is made about a staff member by an employee of an external agency then the matter will be dealt with by the Director General or Board member in the following manner:

- The employee about whom the complaint is being made is notified about the nature of the complaint.

- The complaint will be investigated and all of the facts concerning the complaint will be gathered.

- Witnesses (if any) to the incident about which the complaint is made are invited to present their version of the events.

- The employee concerned is invited to respond to the complaint and any issues raised by the complainant.

- If possible, and appropriate, both parties are brought together and an attempt is made to mediate the dispute and resolve the matter to the satisfaction of the complainant.

- If disciplinary action is required against the employee then this is carried out in accordance with the procedures laid out in Section 3 – Human Resource Management.

Complaints involving staff members should be recorded along with any actions taken to resolve the issue. This record should then be placed on the personnel file of the individual concerned.

### 2.7.3      Complaints involving Board Members

Complaints against a Board member should be referred to the IAT Chairman of the Board. The Chairman, or an approved delegate, will attempt to resolve the issue to the satisfaction of the complainant. The Chairman or delegate will advise the person about whom a complaint is being made of the notification and the nature of the complaint. Where the Chairman is the subject of a complaint the matter should be referred to a member of the Executive Council.

If the matter remains unresolved, the Chairman or notified Board Member will raise the matter at the next Board Meeting following notification of the member concerned. Depending on the seriousness of the complaint the Board may:

- Deal with the matter at this Board Meeting by determining the appropriate action to resolve the issue to the satisfaction of the complainant and the Board Member, or

- Defer the matter to a special meeting of the Board or to a sub-committee of the Board.

### 2.8      Abu Dhabi Polytechnic External Complaints and Feedback Policy

Abu Dhabi Polytechnic is committed to offering services to students, parents, clients, and the community opportunities to provide feedback on their experience with the Institute or any of its entities. Abu Dhabi Polytechnic values this feedback as it is a central platform in its commitment to ongoing quality improvement through its Institutional Effectiveness programme. Feedback and complaints are therefore handled in a prompt, fair, transparent and consistent way.

### 2.8.1      Abu Dhabi Polytechnic Complaints and Feedback Policy – General Principles

The following general principles underpin Abu Dhabi Polytechnic's Complaints and Feedback Policy:

- Any person or organisation using the services of Abu Dhabi Polytechnic or affected by Abu Dhabi Polytechnic's operations has the right to submit to Abu Dhabi Polytechnic any concerns they/it may have.

- Complaints procedures and a commitment to consider all complaints are simple and easy to use, and are effectively promoted so that all people using Abu Dhabi Polytechnic's services have the opportunity to make a complaint should they wish to do so.

- Service users, students, stakeholders and members of the community are entitled to be heard and have their concerns addressed in ways that ensure open and equitable access to the people and processes available to them, fairness in their dealings with Abu Dhabi Polytechnic, accountability and transparency.

- Abu Dhabi Polytechnic recognises and acknowledges that the issue of a complaint is important to the complainant and is never raised lightly. Abu Dhabi Polytechnic is therefore committed to ensuring that the matter is treated seriously and the person with dignity. Resolving complaints, where possible, to the satisfaction of the complainant is the goal of the complaints process.

- Complaints will be dealt with in a timely manner and parties to the complaint will be kept informed of progress of the complaint. Abu Dhabi Polytechnic procedures will reflect principles of natural justice.

- Feedback data (both positive and negative) is considered in organisational reviews and follow up. Board members, staff and students are aware of the procedures for managing feedback and complaints.

Abu Dhabi Polytechnic takes a proactive approach, through its communications strategy, to ensure all users of Abu Dhabi Polytechnic's service and facilities, students, stakeholders and the community are aware of the complaints policy and procedures. These will be incorporated into all documents describing Abu Dhabi Polytechnic's services, contracts, and on the website.

### 2.8.2 Complaints Handling Procedure

The procedures for raising complaints or for dealing with them will be provided to all staff, Board members and students as part of their induction. When changes are made to these procedures these will be brought to the attention of all staff, Board members and students in a timely manner.

The following information will be contained in all written material provided to others under this policy:

- How to make a complaint.
- Who to make a complaint to.
- How Abu Dhabi Polytechnic deals with complaints – in particular the complaints processes and timelines.
- The rights to a support person and/or interpreter when submitting a complaint or taking part in any arbitration.
- How to make a complaint to an external body.
- Contact details of staff members to whom complaints should be lodged in the first instance or who can assist in making the complaint.

**Complaints Initiation Process**

Complaints should always be raised in the first instance with the person concerned. If the issue is not resolved then complaints may be made verbally or in writing to:

- The staff member they were dealing with at the time, or
- The supervisor or line manager of that staff member, or
- The Director, or
- An outside body.

If the complaint is about the Director, or a Board member, then the complaint will normally be dealt with by the IAT Director General or the Chairman of the Board. A direct email account has been set up which may be used to address complaints directly to the Director General or Chairman.

**Dealing with Complaints**

Upon receipt of a complaint the complainant will be notified of this fact and the name and contact details of the person delegated to progress the matter to resolution. Feedback to and from Abu Dhabi Polytechnic will be through this officer.

The staff member investigating the complaint will conduct a review of all of the facts concerning the complaint, including (where appropriate) interviewing witnesses and the officer concerned, and provide a report to the line manager or director who first appointed them. Included in this report will be recommendations for resolving the matter or for further action. If the matter is sufficiently serious, for example a law has been broken, then a recommendation that the matter be escalated to an external authority may be the only appropriate action to be taken.

Within 14 days a letter will be sent to the complainant informing them of the action taken to date and what remains to be done to resolve the issue. Abu Dhabi Polytechnic aims to resolve all complaints within 28 days or negotiate with the complainant a satisfactory timeframe if this target cannot be met.

All complaints will be dealt with:

- Seriously.
- Quickly
- Confidentially
- Without prejudicing in any way the complainants rights and obligations insofar as continuing to use the services of Abu Dhabi Polytechnic or to continue to supply goods and services to the Institute.

Copies of all documentation, letters and notes concerning complaints are maintained in a file in the Director's office. This file is confidential. If the complaint concerns the conduct of a staff member which, if proven, shows that disciplinary action is warranted then a copy of the complaint and its resolution is placed on the individual's personal file.

## 2.9       Privacy – Abu Dhabi Polytechnic Policy

Abu Dhabi Polytechnic, from time to time, collects personal information relating to clients, staff and students, or in the performance of its consultation or research functions. Such information is generally defined as: *Any information or opinion about an individual or which is reasonably capable of identifying an individual.*

Regardless of whether this information is positive or otherwise, Abu Dhabi Polytechnic is committed to ensuring that the privacy of staff, students and others associated with Abu Dhabi Polytechnic is protected at all times.

This policy outlines the guidelines which must be observed when colleting, storing and using personal and confidential information.

### 2.9.1    General Principles

The purpose of this policy is to ensure that the privacy of individuals and organisations about whom Abu Dhabi Polytechnic collects and/or holds information is protected. To consistently achieve this, the following principles apply to the receipt, storage, retrieval and dissemination of any information held by Abu Dhabi Polytechnic:

**Collection**

- Abu Dhabi Polytechnic will only collect information on individuals and organisations when it is lawful to do so. Any information collected by Abu Dhabi Polytechnic is directly related to Abu Dhabi Polytechnic's activities and is necessary for the effective and efficient conduct of such activities.

- Information gathered by Abu Dhabi Polytechnic comes directly from the individual or organisation concerned unless consent is gained to do otherwise. Parents and guardians may give consent to Abu Dhabi Polytechnic gathering and storing information about students under their care.

- Individuals and organisations about whom Abu Dhabi Polytechnic gathers and stores information are to be informed of this, why it is being collected, who will be storing it and how. Individuals and organisations are also to be informed about how they may view and, if necessary, correct this information.

- Abu Dhabi Polytechnic will make every effort within its means to ensure that the information is relevant to the need for which has been gathered, is accurate, up-to-date and not excessive. The collection of this information will not unreasonably intrude into the personal or professional affairs of the individual(s) or organisation(s) concerned.

**Storage**

- Any and all information about individuals and organisations collected by Abu Dhabi Polytechnic will be stored securely, will not be kept any longer than is necessary, and will be disposed of appropriately as soon as there is no longer a need for it to be retained. All information will be protected from unauthorised access, use or disclosure.

**Access**

- Upon request Abu Dhabi Polytechnic will provide individuals or organisations with sufficient details about information held on them, why it is being held, and the rights that individuals and organisations have to access it.

- Abu Dhabi Polytechnic will allow reasonable access to this information without undue delay or expense.

- Where necessary, Abu Dhabi Polytechnic will allow individuals and organisations to correct, update or amend any information held by the Institute.

**Use**

- Before using any information Abu Dhabi Polytechnic will ensure that it is accurate and up to date.

- Information will only be used for the purpose(s) for which it was obtained and held in storage unless consent has been given to use it for other purposes.

- Information may be used without the owner's consent in situations where there is a serious and imminent threat to a person's health or safety, or where a potential breach of any governing laws has been identified.

**Disclosure**

- Abu Dhabi Polytechnic will not disclose any information without the consent of the individual or organisation concerned.

## 2.9.2　Responsibility for Managing Privacy

Responsibility for the management of personal information is the domain of any individual within Abu Dhabi Polytechnic who has access to, or responsibility for, such information. However, the Institute acknowledges that certain individuals/positions are required to deal with personal information on a regular basis, and this includes sharing such information with others who have similar responsibilities. Those individuals will then be in a position to ensure that all staff with whom they share such information are suitably instructed as to their responsibility for safeguarding the integrity of such information and the privacy of the individual(s) or organisation(s) concerned.

**Privacy Contact Officer**

Abu Dhabi Polytechnic has nominated a contact officer for questions or concerns regarding the privacy of information. As a matter of good practice each school, college and entity within the Institute will also nominate an officer to whom members of the public can direct any queries or complaints in the first instance. Privacy Contact Officers are also the primary point of contact for liaising with Abu Dhabi Polytechnic on privacy matters.

Abu Dhabi Polytechnic contact officer is the Human Resources Personnel Coordinator.

**Web Manager**

Web Managers must recognise that consideration of privacy issues will affect web content in the following ways:

- Personal information of staff presented to the public or other staff.

- Personal information of students, parents and others within the community included in web documents.

- The potential to gather information about users of the website.

The ICT Strategic and Business plans should canvass the concerns associated with these issues and establish transparent procedures and standards in dealing with personal information in these situations. A Privacy Statement should also be published and updated on websites established by Abu Dhabi Polytechnic or any of its entities.

**Managerial Responsibilities**

It is the responsibility of the Director to prepare and manage Abu Dhabi Polytechnic's Privacy Management Plan, and to put in place procedures to ensure that these principles are observed in the collection, use, storage or disclosure of personal information.

Personal information also applied to information relating to staff and employees of Abu Dhabi Polytechnic. To this end human resource and line managers are responsible for:

- Ensuring training practices are in place for employee induction and training in privacy requirements.
- Protecting staff and employee privacy in the workplace.

**Staff Responsibilities**

Administration, operational and teaching staff of Abu Dhabi Polytechnic should also observe these principles when dealing with personal information in the conduct of their day to day functions. Staff members are encouraged to raise any concerns they may have regarding privacy issues that arise in the conduct of their work, and to report any breaches of privacy that they may observe to their supervisor or line manager.

# SECTION 3 - HUMAN RESOURCE MANAGEMENT

Abu Dhabi Polytechnic is committed to providing a positive working environment in which employees feel that they are valued, treated fairly and given recognition for their contribution to the Institute's success. Abu Dhabi Polytechnic aims to provide an environment that fosters good working relationships at all levels and offers flexible and supportive work practices.

Abu Dhabi Polytechnic is committed to providing employees with working conditions that comply with relevant legislation and which are comparable with industry standards.

Abu Dhabi Polytechnic uses the Institute of Applied Technology **Human Resources Policy Statement (Appendix 1)** which is attached as a separate document that includes the following:

- Definitions and Interpretation
- Academic Calendar
- Appointments
- Legal Documentation and Visa Requirement
- Workforce Planning
- Competencies, Evaluation and Training
- Salaries, Allowances and Benefits
- Employee Relations
- Termination of Employment
- Employee Personal Records

# SECTION 4 - FINANCIAL MANAGEMENT

As a body wholly owned by the Abu Dhabi government, Abu Dhabi Polytechnic has a responsibility for sound financial management and close budget control. This section outlines the IAT's **Finance Department Policies and Procedures Manual (Appendix 2)** which is attached as a separate document is used by Abu Dhabi Polytechnic in relation to financial matters, including the following:

- General financial provisions
- Levels of authority
- Finance committee
- Financial system
- Financial records
- Internal audits
- Bank, credit card and petty cash
- Purchasing
- Revenue
- Inventory

# SECTION 5 - LOSS CONTROL & HEALTH AND SAFETY

## 5.1 Introduction

Loss Control is a combination of the principles and procedures which underpin Occupational Health and Safety, Asset Management and Accident Prevention. Unlike the traditional approach to OH&S, Loss Control takes a pro-active approach to both the prevention of loss to assets, facilities, equipment and personnel, and the procedures for ensuring a swift return to normal business should such losses occur.

In this section the following will be covered:

- IAT Loss Control policy
- Organizational lines of responsibility
- Loss Control principles
- Health, safety and welfare
- Protective clothing
- Visual display screen equipment
- Machinery – safe handling principles
- Visitors and contractors
- Risk Assessments

Loss control addresses the occupational health, welfare and safety of all staff and visitors of an organization by putting in place systems and processes that identify hazards and risks before they materialize, and by developing plans and strategies to minimize the impact that they may have should they occur. Loss control procedures acknowledge that losses through carelessness or *forces majeure* ('Acts of God') can have many causes and most of these can be predicted with good planning, constant observation, and total involvement by all staff and visitors.

## 5.1.1 The Cost of Not Controlling Losses

One of the most valuable assets any organization has is its employees. This is true if the employer is a small business, large corporation, or a government agency. Investing in loss control and workplace injury and illness prevention programmes has proven to be one of the best and most cost effective ways employers can protect both their human and their physical assets.

Abu Dhabi Polytechnic has the additional responsibility for the many full and part-time students who study in any of the many premises that Abu Dhabi Polytechnic uses to run its training. Moreover Abu Dhabi Polytechnic plays an important role in introducing students to the most modern technical and scientific studies available and therefore invests extensively in the leading edge machinery, equipment and tools students need to successfully undertake courses which range from the pre-vocational studies carried out at senior secondary school to internationally recognized and approved post-secondary and undergraduate qualifications.

The direct costs of losses in equipment and facilities, and in workplace injuries and illnesses (medical expenses and worker's compensation benefits) are well known. What may not be so

well known are the indirect or hidden costs of accidents, which are often 3-4 times greater than the direct cost. These arise in the following:

- productive time lost by an injured employee or when equipment is not available;
- productive time lost by damaged equipment;
- productive time lost by supervisors;
- time and costs to resume operations after an accident or equipment damage incident;
- time and costs to hire other individuals to replace an injured worker;
- time and costs to hire or purchase equipment;
- time and cost to repair or replace any damaged equipment;
- reduced morale and perhaps efficiency;
- loss in study time;
- reputation of Abu Dhabi Polytechnic as a safe learning environment;
- overtime costs;
- adverse publicity;
- administrative costs;
- increased insurance premiums.

These costs may also be cumulative. For example an accident in a motor vehicle will not only result in the costs of having an injured staff member or student but also having to repair and/or replace the motor vehicle. The point is that every incident has a cost – either direct or indirect – which, through judicious planning and increased awareness, may have been avoided.

## 5.2    Abu Dhabi Polytechnic Loss Control Policy

It is the policy of Abu Dhabi Polytechnic to take all possible steps to assure the health, safety and welfare of all employees and other persons engaged in work for Abu Dhabi Polytechnic, or undertaking study on its premises, and any third parties who come into contact with Abu Dhabi Polytechnic at any time and for whatever purpose. It is the duty of each employee of Abu Dhabi Polytechnic to comply with this policy and to co-operate with the management of Abu Dhabi Polytechnic to ensure that the workplace remains as safe as possible and any personal or materiel losses are kept to a minimum. If any person is in any doubt as to whether anything is safe or unsafe then they must assume that it is unsafe until further guidance has been given by their manager or by the Health and Safety Officer. The Board of Trustees of Abu Dhabi Polytechnic is fully committed to maintaining safe systems of work and fully recognizes their overall responsibility for safety in the work place. Any member of staff who does not comply with this safety policy or any other safety requirement will be liable to disciplinary action.

## 5.3    Organizational Lines of Responsibility

Overall responsibility for the health and safety of all persons within Abu Dhabi Polytechnic rests with the Board of Trustees of Abu Dhabi Polytechnic. The Board of Trustees delegates this responsibility to the individual directors and managers for the purposes of the day to day running of the operation with the direct assistance of individual line managers and supervisors. Abu Dhabi Polytechnic has a nominated Health and Safety Officer who has overall group responsibility for reviewing and making recommendations on all matters relating to health and safety.

The Health and Safety Officer who has overall responsibility for the day to day safety operations will be Senior Manager of Student and Support Services. It is his responsibility to ensure that:

- Safety officers are appointed at all schools, campuses and facilities where Abu Dhabi Polytechnic's business is conducted. In a classroom the teacher or student supervisor is to take on the role of safety officer for that group.

- All persons employed by Abu Dhabi Polytechnic and all students attending courses run by, or on the premises of, Abu Dhabi Polytechnic receive adequate loss control and health and safety training. In addition employees and students will receive adequate instruction and supervision to enable them to undertake their work or studies in a safe manner.

- All plant and equipment are suitable for their intended purpose and that it is maintained in a safe condition at all times.

- All persons working on site, whether or not employees of Abu Dhabi Polytechnic, are adequately notified of all known hazards and protective measures.

- That Abu Dhabi Polytechnic risk assessments, along with all other safety documentation, are brought to the attention of all relevant parties.

- That all employees comply with their legal requirements under current national statutory provisions. All staff must co-operate with the management of Abu Dhabi Polytechnic to allow it to comply with the legal requirements for health and safety.

Individual members of staff who have any concern regarding their own safety, or that of a third party, or the risk of damage to equipment or premises belonging to or being used by Abu Dhabi Polytechnic, are responsible for reporting the matter to their manager without delay.

All members of staff will receive a copy of this safety policy and will be required to sign to state that they have read and understood it. New members of staff will be required to read and sign a copy of this safety policy before they start work and their manager will familiarize, explain and assist them to begin work in a safe manner.

## 5.4 Loss Control – Principles

The central tenet of Loss Control is the control of losses, either by pre-emptive action or by corrective action to ensure that incidents do not re-occur.

Pre-emptive action includes putting in place policies and procedures that aim to limit the possibility that known incidents occur. This includes injury or damage caused by fire, electricity, hazardous material, and so on. It also includes the identification of emerging risks through the reporting of near-misses and potential hazards.

Loss Control is not restricted to injury or harm to staff: it is also concerned with damage to equipment and other items belonging to Abu Dhabi Polytechnic. This includes furniture, electrical and mechanical equipment, training or teaching equipment, buildings, motor vehicles, and so on. Again, this concerns not just actual or potential damage but also that which could have been caused had it not been a near-miss.

It is IAT policy that near-misses are to be treated as seriously as an actual occurrence. Failure to fully investigate a near-miss could potentially lead to critical signs being overlooked that an incident may occur which could result in an injury – or even death – to a staff member or student, or facilities or equipment being damaged. Near-miss reporting proforma and guidelines are detailed in appendices to the Abu Dhabi Polytechnic Health, Safety and Emergency Policy and Procedures Manual.

## 5.5      Health, Safety and Welfare

The success of many private and public sector organizations has shown that a comprehensive written loss control and/or health and safety programme will significantly reduce the costs associated with equipment damage and workplace injuries and illnesses. Research has also shown that an effective safety programme will have a positive effect on employee morale and productivity. The process of establishing a written health and safety programme helps identify what has to be done to control hazards and promote greater health and safety awareness among employees, teachers and students. The policies and guidelines presented here are necessary to achieve injury and illness prevention goals. These are based on internationally recognized standards such as the ISOAS 18001:1999 Occupational Health and Safety Management System, ISO14001:2004 Environmental Management System, and BS8800 Health and Safety Management Systems. This policy and guidelines document should be read in conjunction with the Abu Dhabi Polytechnic Health, Safety and Emergency Policy and Procedures Manual.

Staff are required to read and understand these policies and guidelines and indicate that they have done so by signing and returning the confirmation slip. Having provided this confirmation staff and students will be issued with a Permit to Work for the equipment or machinery relevant to their needs. All new employees will undertake induction in accordance with the perspective guidelines.

### 5.5.1      Training

General induction training and regular refresher training in the application of these policies and guidelines will be provided for all members of staff. Additional training will be provided for nominated members of staff as required.

The planning of training in the application of safety procedures is the responsibility of the Health and Safety Officer with the assistance of each safety officer. Documented training records will be maintained. If any member of staff feels that he/she could benefit from specific safety training in addition to that which has been assessed as relevant by Abu Dhabi Polytechnic then they should approach their supervisor.

### 5.5.2      Fire Safety

The Institute will provide the necessary firefighting equipment in accordance with the requirements of the local Fire Authority. It is the policy of Abu Dhabi Polytechnic to over rather than under provide such facilities. All employees are required to familiarize themselves with the fire drill before commencing work. Exercises will be arranged at regular intervals. Existing firefighting equipment will be inspected by a supervisor appointed by the school, campus or facility safety officer on a weekly basis and by the external contract engineers on an annual basis. Alarms will be tested weekly and firefighting equipment will be inspected and a certificate issued by a competent authority on an annual basis.

The following requirements are to be adhered to at all times:

- Fire exits must be kept clear at all times. No fire door to or from an occupied room may be locked nor anything stored against them. Passageways to and from fire exits are to remain clear of any items that may impede movement of individuals. Smoking is only permitted in designated areas.

- No doors are to be wedged or propped open in any way. All personnel will be trained by their respective school, campus or facility safety officer in the safe use of firefighting equipment.

- All staff are to know, and from time to time be tested on, which extinguishers are available in their immediate place of work.

- Combustible materials must not be allowed to accumulate around work areas or electrical appliances (including wall sockets, power cords and splitters/adapters).

- Flammable materials must never be exposed to hot surfaces or direct heat sources.

- In the event of a gas leak all equipment is to be switched off and personnel and students are to evacuate the premises immediately. The local fire authorities are to be contacted as soon as possible.

- In the event of a fire the premises should be evacuated immediately following the information provided on the fire notices.

- Fire extinguishers should only be removed from their wall brackets in an emergency. The removal of fire extinguishers in other cases without good reason will be considered as misconduct and disciplinary action will be taken.

### 5.5.3    Electrical Safety

All equipment should be checked prior to use. Equipment that has a high usage should be checked regularly to ensure that it continues to be in a safe working condition. Any equipment that does not appear to be in good order should be turned off, removed from any electrical source, tagged, and reported to the school, campus or facility safety officer. In their absence the nearest teacher, supervisor or manager should be notified and the time of such notification, along with details of who was notified and what was told to them, emailed to the Health and Safety Officer.

Changes to the electrical system (including new plugs) should only be undertaken by competent persons who have been trained in such tasks, and all works required (aside from normal maintenance or repairs) should be reported to the safety officer. Work on 3 phase electrical systems or live plant must never be undertaken by unqualified personnel. Where live working is required (i.e., work carried out on equipment that is not 100% isolated from an electrical source), a specific risk assessment to be undertaken and the results/action plan reported to the relevant supervisor.

### 5.5.4    General Safety Requirements for Electrical Systems

The following requirements apply to all electrical systems and appliances:

- Switch off all electrical equipment after use.  Do not overload sockets.

- Do not use any electrical appliance that is broken or has cables or cords that are worn or loose.

- Do not allow wires to project into the walkways where they present a tripping hazard. All cables on the floor must be taped securely so that they cannot be tripped over or damaged.

- Use a residual circuit breaker when operating a portable hand tool.

### 5.5.5    First Aid

Within Abu Dhabi Polytechnic each school or campus has a nurse who will be supplemented by nominated first aiders whose names will be published on the notice board. Other IAT facilities will also have staff specially trained in first aid.

First aid is not a replacement for professional medical or health assistance. If an injury is suffered, however slight, it must be reported to the relevant supervisor or manager so that details may be taken and a full explanation of the events surrounding the accident recorded. All injuries must also be notified to the school nurse so that the details of the injury can be entered in the accident book and the appropriate assistance provided. An Accident/Disease Investigation Report will be completed and forwarded to the Health and Safety Officer.

Failure to report injuries may cause delays in later claims for compensation or reimbursement of medical expenses.

If a serious accident occurs the nearest first aider should be contacted at once so that treatment may begin immediately. If this occurs in a school then the school nurse should also be notified so that the injury can be assessed and, if required, an ambulance called.

If staff or student comes into contact with chemicals, especially on their skin or in their eyes, or they are swallowed or inhaled, immediate first aid must be sought. Detailed assessments of each incident will be carried out in accordance with this policy and guidelines document and measures taken to ensure that future such incidents do not occur.

### 5.5.6    Cleanliness

Good housekeeping in all areas is an essential feature of safety and the prevention of accidents.

Staff working in all areas must have regard to the following:-

- Ensure that loose and worn flooring is reported to their supervisor.
- Ensure all entrances, corridors, walkways and exit doors are kept clear of obstructions at all times.
- All cabinets, cupboards and drawers are closed after use.
- Shelving is never overloaded or heavy items stored above head height except on load bearing purpose-built racking.
- Lit cigarettes are never left unattended in the designated smoking area.
- Dangerous substances or spillages are to be cleared away immediately. Dangerous substances are to be marked and defined as toxic, harmful, irritant, flammable or oxidizing.
- Dust and fumes should not be inhaled. If dust or fumes are produced by any activity then the task must be ceased immediately until protective measures have been put into place.
- Equipment must not be left where it can be a tripping hazard.

### 5.5.7    Manual Handling

Lifting and moving loads by hand is the biggest cause of injury in the work place. Lifting should be carried out in accordance with the guidelines detailed at the appendices to the *Abu Dhabi Polytechnic Health, Safety and Emergency Policy and Procedures Manual.*

Heavy goods are to be lifted in accordance with these guidelines. Lifting equipment should be used wherever possible, however such equipment is not be used by those who are not trained or authorized to do so.

### 5.5.8 Control of Substances Hazardous to Health

HAZMAT and CHEMHAZ are the names given to non-specified hazardous material and chemical hazards respectively. The law requires Abu Dhabi Polytechnic to control the use, handling, storage disposal and transportation of any materials that come under these categories.

Formal assessment will be regularly carried out of all materials used by Abu Dhabi Polytechnic and this will be available on site at all times for reference purposes. Procedures for the safe handling, use and storage will be kept in a safe and easily accessed location nearby to where such material is used or stored. Staff and students handling such material should be familiar with these procedures and the following:

- Staff and student are not to handle or in any other way come into contact with hazardous substances or material without adequate and appropriate protection. At a minimum such protection must include long sleeved shirts, long pants, protective gloves, mask and goggles.

- National dress is not to be worn when handling hazardous material or chemical substances.

- Employees are not permitted to purchase or to bring to work substances which are not included on the Chemical Safety Register. If a formal assessment has not been made then that product may not be brought onto any school, campus or facility.

- It is a strict requirement of Abu Dhabi Polytechnic that when any person handles a chemical they never mix it with any other chemical product. The mixing of chemicals can lead to harmful chemicals being inadvertently formed.

- Disposal of chemical products must only be carried out under the direct instruction of the safety officer and relevant health authorities.

Full procedures for handling substances that are hazardous to health can be found in the appendices to the *Abu Dhabi Polytechnic Health, Safety and Emergency Policy and Procedures Manual*.


## 5.6 Protective Clothing

Where protective clothing is provided it must be worn. It is an offence which will attract disciplinary procedures for an employee to abuse or disregard safety equipment. Students who fail to wear safety clothing or properly use safety equipment will be subject to disciplinary action which may include expulsion and, in the most severe cases, further action.

Assessments of chemical and hazardous material will be regularly conducted to determine what clothing is appropriate and whether or not that which has been issued to staff and students is in good repair and is being worn. Protective clothing that is torn or is wearing out should be reported and replaced as soon as possible.

One of the major causes of injury in the work place is cuts to the hand. Personal protective clothing in the form of gloves is a significant method of protection from such injuries. Gloves should always be worn when handling sharp items and when moving loads.

Persons wishing to handle chemicals must first read the material assessment to determine the precise nature of the clothing required for any particular product. All curriculum that includes the use or study of hazardous materials or chemical substances must include a risk assessment and a detailed list of the protective clothing required.

## 5.7 Visual Display Screen Equipment

The Institute will carry out formal assessment of all work stations where visual display screen equipment is used. It is the policy of Abu Dhabi Polytechnic to provide eye tests for visual display screen work where an employee is required to work with this equipment.

Procedures for managing safety and health relevant to visual display equipment are found in the appendices to the *Abu Dhabi Polytechnic Health, Safety and Emergency Policy and Procedures Manual.*

## 5.8    Machinery – Safe Handling Principles

Only trained personnel may use machinery provided in the work place. Under no circumstances is untrained staff or unsupervised students to attempt to operate any machinery. Prior to authorization being given to operate machinery an assessment of each individual's competence and capability will be carried out. This includes the capability and competence of staff supervising students.

If at any stage while using any item of machinery a staff member or student begins to feel unwell they must stop what they are doing, isolate the plant concerned via the remote electrical supply switch and report to their supervisor or teacher.

The following are general rules for operating machinery. These should be read in conjunction with the relevant manufacturer's handbook and other safety instructions appropriate to the machinery:

- Never talk to another member of staff when you are operating machinery. Talking is a distraction and can lead to injury to self or others.

- Do not approach or distract any other employee operating machinery.

- Never operate machinery that does not have in place safety guards. Not all machinery requires safety guards but those that do cannot be operated if the safety guard is not fixed in its correct position.

- Never operate machinery that has a tag on it. The tagging of equipment will be detailed later in this policy and guidelines document, and machines should not be operated, or even attempted to be operated, if a tag is attached.

- Never remove a tag from a machine unless you are absolutely certain that the machine is safe to use. The safest policy is to never remove a tag unless you were the person who applied it in the first place.

- Equipment malfunction tags can only be removed by an authorized technician after the machinery has been repaired and is once more fully functioning.

- Playing on, near or with machinery will not be tolerated and will, if sufficiently serious, attract disciplinary action. Teachers are to remain vigilant at all times to ensure that students and visitors adhere to this policy. If there is evidence of any unsafe activity going on near or with machinery it is to be stopped instantly and the perpetrator/s moved away from the equipment concerned.

### 5.8.1    Guarding

It is not only dangerous but in breach of this policy and guidelines document to remove a guard from a machine unless there is a need to clean or repair it.

Only trained personnel may clean or repair items of plant which require guarding to be removed.  Equipment which is to be cleaned must be isolated electrically and tagged. The electrical supply should be locked out and a notice should be fixed to the switch point advising that re-connection of the supply can be hazardous.

If any part of the equipment being used is unguarded, work should stop immediately on it, the plant concerned isolated, and the matter reported to the safety officer or to a supervisor without delay. Any equipment or machinery that is unguarded is to have a Lockout Tag affixed to it with the date/time and signature of the person applying it.

The policies and procedures to be applied for Lockout Tags are found in the appendices to the *Abu Dhabi Polytechnic Health, Safety and Emergency Policy and Procedures Manual*.

## 5.9    Visitors & Contractors

All visitors and contractors must report to the main reception unless alternative arrangements have been made. Any contractor carrying out work at Abu Dhabi Polytechnic premises may be required to provide the following details to the safety officer in advance of the work commencing:

- Health and Safety Policy
- Risk Assessments
- Chemical Safety Assessments
- Liability Insurance Cover.

Contractors carrying out electrical, gas or hot works will be issued with a permit to work before commencing work. A permit to work will also be required for persons working at height or in confined spaces.

All contractors working for Abu Dhabi Polytechnic are required to comply with this safety policy and with all other written safety instructions.


## 5.10    Risk Assessments

The Institute has produced detailed written risk assessments for all members of staff. The procedures for conducting these assessments is found in Abu Dhabi Polytechnic Health, Safety and Emergency Policy and Procedures Manual. (attached as a separate document). All staff are required to read these assessments and abide by their requirements at all times.

**IF AT ANY TIME YOU ARE CONCERNED BY ANY ASPECT OF SAFETY IN THE WORK PLACE THEN STOP WORK AND MAKE IMMEDIATE CONTACT WITH THE SAFETY OFFICER.  IF YOU CANNOT CONTACT THE SAFETY OFFICER THEN MAKE CONTACT WITH YOUR SUPERVISOR.**


## 5.11    Health and Safety Policy

The Abu Dhabi Polytechnic Director has ultimate responsibility for the Health, Safety and Environmental (HS&E) performance of Abu Dhabi Polytechnic. HS&E management is part of the overall management strategy of the Abu Dhabi Polytechnic. It is a critical element to ensure that Abu Dhabi Polytechnic creates and maintains an environment that is safe for employees, trainees, sub-contractors, visitors and members of the public.

This section outlines Abu Dhabi Polytechnic's Abu Dhabi Polytechnic Health, Safety and Emergency Policy and Procedures Manual which is attached as a separate document and used by Abu Dhabi Polytechnic in relation to health and safety matters, including the following:

- Introduction by the Abu Dhabi Polytechnic Director
- Statement of Intent
- Organization for Implementing Policy
- Arrangements for the Implementation of this Policy
- Health, Safety, and Environment Assistance
- Information and Education
- Capabilities
- Suppliers and Temporary Workers
- Public Safety
- Auditing, Monitoring, and Inspection
- Records
- Policy Development
- Appendices

# SECTION 6 - STUDENT RECRUITMENT

## 6.1 Introduction

The effective and efficient recruitment of students to the Abu Dhabi Polytechnic is the responsibility of the Abu Dhabi Polytechnic. It requires all recruitment efforts to be aimed towards the achievement of the Abu Dhabi Polytechnic vision which gives principle concentration on preparing students with the skills and knowledge to successfully enter the workforce and make a substantial contribution to the future of this nation.

The processes described in these guidelines employ an electronic recruitment and records management system. This system is maintained centrally at the Abu Dhabi Polytechnic Directorate but accessed and managed locally. The processes commence with on-line registration and culminate with all students allocated to sections and classes according to the results of an entry exam and, where applicable, credit transfer of achievements made in previous study.

These guidelines provide a detailed explanation about each step of the pre-registration, registration and records management processes.

To ensure student recruitment is as effective as possible, a systematic process is required that widely presents a common message of the Abu Dhabi Polytechnic as a positive, unique and academically fulfilling experience. Moreover, it should embrace the overall vision of both the Abu Dhabi Polytechnic and its supporters as an avenue whereby learning is achievable by all who are accepted into it, is positive in that it includes both the skills each individual needs to be successful in life and the ongoing growth of knowledge that underpins how they may achieve this, and is lifelong.

## 6.2 Policy Statement

The recruitment of students to the Abu Dhabi Polytechnic is a critical step in the achievement of the Abu Dhabi Polytechnic's strategic goals and objectives. Central to such achievements is the recruitment of students who possess both the willingness and the capability to undertake training in vocational subjects. Recruitment should therefore concentrate on both promoting the Institute as a center of excellence in the presentation of world class learning in vocational subjects, and the selection of students who are capable of undertaking such learning and on graduation entering technical fields of employment.

## 6.3 Principles

In the effective application of these processes the following will be in evidence:

- Recruitment activities accurately portray a positive image of the Abu Dhabi Polytechnic and the potential achievements each student may make, with support and leadership, as a result of attendance.

- Recruitment is carried out in sufficient time to allow for administrative preparations to be completed for the forthcoming academic year.

- Students are allocated to classes relative to their past achievements and current capability.

- All records are complete, accurate, and accounted for.

- Before the academic year commences, new students are, as far as is possible, fully prepared for the academic year in terms of currency and accuracy of personal information, complete allocation of uniforms and study material (including

timetables, bus passes, ID cards etc.), and full understanding of where they must be, what they must do, and the topics they will be studying.

- At all times students, parents and academic staff are aware of, and where necessary involved in, the stages of recruitment through which each applicant is progressing.

- Recruitment activities are aligned with and form part of the Abu Dhabi Polytechnic's ongoing efforts to foster goodwill and the spirit of collaboration with a range of stakeholders and community representatives

## 6.4    Student Recruitment

Effectiveness and efficiency in the recruitment of students will be achieved through the application of a six step process encompassing marketing, recruitment and documentation control. These steps are as follows:

***Step 1. Marketing***: National and local advertising and marketing of the Abu Dhabi Polytechnic as a viable option for vocational and technical studies. This includes billboards, leaflets, school visits, radio and television advertising, etc.

***Step 2. Pre-registration.*** Receiving and assessing written applications and developing a shortlist of applicants. Applications are submitted through the Abu Dhabi Polytechnic website or, where this is unavailable, manually completed and later inputted into the IT system.

***Step 3. Registering successful applicants.*** Applicant information is checked and successful students are entered into Abu Dhabi Polytechnic records.

***Step 4. Entry testing.*** This is in the form of a test to determine students' capability for study (medical and cognitive tests) and provisional entrance level.

***Step 5. Registration and orientation.*** Successful students (and their parents / guardians) are invited to a registration day at which time they are introduced to their teachers and the subjects to be covered, and are issued with the relevant documentation and measured for their uniforms. Bus requirements and timetables are also determined.

***Step 6. Student records completed.*** Student recruitment files are signed off to determine that they have undertaken all tests and been issued with their respective documentation and uniforms. Outstanding items (particularly uniforms) are noted and action initiated to obtain them.

These steps are detailed in the following pages.

## STEP ONE - Marketing

There are many ways in which marketing may be carried out. These include, but are not limited to, the following:

- **The media.** Particularly newspapers, magazines, national and international journals, and so on. The use of the media should be coordinated with the PR/Marketing section of the Abu Dhabi Polytechnic Directorate to ensure consistency of message and wherever possible efficiencies in terms of costs and public relations, however in general advertising is a matter that can be developed and organized at school or college level.

- **Networking**. In particular with other schools and colleges, in particular through direct correspondence and/or visits by staff (preferably UAE staff) and students. Intercollegiate sports activities is another way of fostering networks.

- **Exhibits.** These can be conducted in Malls or at trade conferences.

- **Skills contests and exhibitions.** In advance of future entrance into national and international skills symposium schools are encouraged to conduct contests and exhibitions with other schools or colleges in order to demonstrate both the capability of students and their individual and team motivation.

- **Posters**. These may be developed, with the assistance of the PR/Marketing section of the Abu Dhabi Polytechnic Directorate, and used wherever possible (and legal) in areas identified as the target of a recruitment strategy. These must be used with discretion, however, because their *ad hoc* and indiscriminate use may be counter-productive and result in charges of littering. Old and tattered posters can also be counter-productive in that they promote a similar image of Abu Dhabi Polytechnic.

- Direct advertising and calls for applications through letters given to students to present to their family and/or friends.

- Online advertisement through educational websites, for example the ministry of Education website.

- Advertisements on the sides of buses.

Directors and college managers are not limited in the means by which they conduct their marketing for potential students. Where necessary, and appropriate, advice and guidance can be provided by the PR and Marketing section of the Abu Dhabi Polytechnic Directorate.

### STEP TWO - Pre-registration

Pre-registration is the processes whereby potential students make their first application to the school or college. This involves an on line application which seeks sufficient information about the applicant to determine suitability for progression to the next step. Applicants without access to the on line application form should attend the school or college concerned or request an application form be sent to them by mail.

During registration, applicants will be required to enter all of the required data before progressing from one section of the application to the next. Failure to fully complete sections of the application will result in the pre-registration processes unable to be completed. These processes, however, are designed to be sufficiently simple that applicants with the full range of required information can complete them but sufficiently robust that those unable to produce the required information or who seek to input incorrect or false information will see their application not reach the point where it may be submitted. Accuracy of information for those not using the on line facility will be checked when they submit their applications to the school or college concerned.

Access to this information, once it is submitted, will be limited only to Abu Dhabi Polytechnic administration and Directorate staff. It will produce reports that will show demographic data as well as provide initial feedback on the suitability and capability of each applicant. It will also enable the data to be clustered by home location, age, and educational achievements. The data provided in hard copy (i.e., that gained from applicants not using the on-line facility) is to be inputted manually.

At the beginning of the registration processes all applicants are reminded of the rules for accepting students. These include that the applicant should:

- Science stream students only are eligible for admission. (Arts stream students may be accepted for admission under certain circumstances.)
- Science stream applicants should have an overall average above 70%. (Arts stream applicants should have an overall average above 80% for consideration.)
- Applicants must have International English Language Testing System (IELTS) Academic band 5.0 or equivalent and a successful test and interview in English. (Applicants who do not meet this criterion may enroll in the Foundation Programme.)
- Applicants must hold UAE nationality. (Under special circumstances, non-nationals may be allowed to enroll in certain programmes.)
- Applicants for certain programmes will be required to take special entrance examinations based on programme sponsor requirements.

- Have an interest in vocational and technical study (including mathematics, applied technology, English language).

Be aware that in order to be accepted by the Abu Dhabi Polytechnic the following steps must also be completed:

- o An initial Abu Dhabi Polytechnic interview, a skills aptitude test which includes both cognitive and motor skills, and,

- o a medical examination.

The information sought in this application is as follows:

- Student's full name, date and place of birth.

- Postal and street address.

- Contact details (home telephone and email and/or mobile telephone number, depending on which they prefer to be contacted).

- Current school information.

- Current certificate information.

Other information sought in this application includes transport requirements of each applicant. For example, would the applicant seek to use the Abu Dhabi Polytechnic bus (where provided) for transport to and from the Abu Dhabi Polytechnic? This would trigger another screen seeking information on exact home address, nearest interchange or cross-roads, nearest landmark etc., special needs, etc. As well as providing information for planning bus routes and pick up times this information will also provide demographic data on student locations.

At the end of the form applicants are requested to acknowledge the terms and conditions for applying on-line prior to submitting their application.

All information in the form should be completed according to the applicant's upgraded passport. This will be checked for accuracy and completeness prior to the next step in their registration.

When the application is successfully received by the Abu Dhabi Polytechnic a message will be automatically sent to their email or SMS (whichever they have noted as their preferred means of contact) containing confirmation of their application and a registration number. This number will identify them during the next stages of their application.

## STEP THREE - Registering successful applicants

At predetermined cut off dates the information submitted by applicants will be collated and printed as individual reports (for checking against documentation presented by applicants at

the next stage of their registration) and collective reports that allow for analysis of class sizes, transport requirements and preparation for issue of uniforms, ID cards and other items on the Registration and Orientation day.

Where possible and practicable, academic records should be checked against those held by the educational institution/s previously attended by applicants. In all instances applicants should be informed (by email, SMS or post) of the success or otherwise of their application and, for those progressing to the next stage of registration, advised of the need to attend to the school or college for registration and orientation.

In order to confirm the data presented in their application, applicants will need to bring with them the following to the Registration and Orientation day:

- Copy of the applicant's valid passport
- Copy of the family book
- Copy of the birth certificate
- Copy of all required certification
- 6 color photos size 4 cm x 6 cm

In the same message applicants should be informed of the entrance exam and medical tests they will have to undertake before registration is complete and their measurement for uniforms.

## STEP FOUR - Entry testing

Exams and examination dates should be planned as part of the overall recruitment exercise. The exam should be in two parts: One testing cognitive skills and the other testing hand-eye coordination and (mechanical and electrical) engineering aptitude. The purpose of this is to test applicant's cognitive and motor skills and aptitude for study at the school or college.

These tests should be sufficiently rigorous to determine each applicant's potential to successfully complete their diploma studies.

For successful applicants the results of these tests will provide examiners with an indication of which students should be allocated to the Foundation programme or the Diploma programme. Processes for discriminating between levels can include the following:

- **Cut-off point.** An arbitrarily selected cut off point may be used to determine into which group individuals whose exam scores fall above or below that figure should be placed.

- **Competency-based assessment.** An assessment of skills and underpinning knowledge (as examined in, for example, a written test) against previously determined criteria. This, coupled with an exam, will demonstrate both current competence and a rating based on the exam result.

- **Exam and interview.** The aim of the interview is to determine the applicant's preference for vocational study. When used in conjunction with a predetermined list of selection criteria will enable each applicant to be rated.

- **Exam, results of previous studies.** This may or may not include an interview to determine preferences.

- **Capability-based assessment.** An assessment of skills and underpinning knowledge using evidence from observation of current competence *and* other activities such as hobbies and activities undertaken at previous schools. This will determine the applicant's capability for future competent performance.

In each case the written exam should be attempted regardless of whether a test of skills or interview is also carried out. However, discretion and flexibility will be required in allocating applicants to study groups as a result of following any of these processes as their actual capabilities may not emerge until they've commenced their studies or individual preferences may later change. Applicants who fail the exam should be counseled and their application terminated. Those of sufficient age and potential should be encouraged to re-apply at such time as they feel capable of again attempting the exam.

At the conclusion of this step the successful applicants should be notified and provided with details of the next steps in their registration and what remains to be done in the days prior to their studies commencing. This should be carried out as soon as possible after the exam results are known so that successful applicants can prepare themselves for attendance at the Registration and Orientation Day and the commencement of the academic year.

## STEP FIVE - Registration and orientation

The purpose of Registration and Orientation Day is to finalize applicant documentation, issue them with all of the items they will require to commence their studies, and orient them to life at the school or college.

During registration and orientation successful applicants should under-take the following:

- Issue of ID cards, timetable and nomination to class section.
- Measurement for uniforms.
- Bus timetables and routes are confirmed.
- The following documentation is completed and, where required, given to parents for further action:
  o Medical form for check up.
  o Bank account letter.
  o Acceptance letter for school transfer.
  o Student information handouts.

Medical and bank details must be completed before the applicant can commence study.

## STEP SIX - Student records completed

Student files will be maintained in both hard and soft copies. Hard copy files (such as medical reports, exam papers etc.) should be collected and placed together in a secure folder or loose leaf binder. Whichever means is adopted all documents should be firmly affixed and the student to whom they relate clearly marked.

Soft copy files should be maintained in a central filing system available to those with the authority to view them. Demographic data concerning applications (successful and unsuccessful) will be stored automatically in a central repository for access by Directorate staff and school or college management when and as required. Where required medical files will be maintained under separate arrangements.

Attendance sheets should be prepared prior to the first day of the academic cycle and handed over to the relevant teachers on the first day of school. These will then form part of the institutions record system.

It is intended that all record keeping will eventually become automated so that information relating to individual applicants will be recorded, maintained and updated automatically from the time attendance at the VEDC is first applied for. Attendance, uniform sizes, academic and sports achievements, and general conduct will then be entered directly into computers thereby

allowing for a complete and up to date record to be maintained of each student's time with the institute.

## 6.5 Orientation Day

This may or may not take place at the same time as registration. The decision to do so will be dependent upon the number of staff available to assist in both the registration of new students and their orientation.

Whenever it is conducted, the purpose of the Orientation Day is to brief new students on the history of Abu Dhabi Polytechnic, its aims and objectives, and the part their study will play in achieving these. It is also an opportunity for the students to get an understanding of what is expected of them, including the school's or college's rules and regulations, areas that are out of bounds, and the desired level of performance on and off the school or college grounds whilst in uniform.

Also covered on this day are details of the subjects being studied. Where possible and practicable this should include an introduction to the skills they will learn and demonstrations, preferably by current students, of the equipment and tools they will be using. They should also be given a tour of the school or college facilities and introduced to the canteen, library and other facilities available to them. Any extra-curricular activities (such as sports, hobbies, clubs etc.) should also be explained to them and invitations given to join those which interest them.

Depending on numbers and support staff this can be carried out as one group or individually by section or study area. Those activities to be presented may be set up as a 'round robin' with groups moving between each until all new students have had an opportunity to be presented with all of the information and experiences that the day offers.

# SECTION 7 - PURCHASING AND PROCUREMENT

Throughout Abu Dhabi Polytechnic goods and services are not purchased or otherwise procured for any purpose other than the enhancement of current systems or teaching/learning outcomes, or the introduction of a new capability to Abu Dhabi Polytechnic.

Critical to this is the application of a systematic approach to the identification of an appropriate vendor or supplier, the fair and honest dealings when entering into an agreement for the supply of the goods and services, and the professional manner by which the agreement is managed and any contracts finalized. The adoption of such an approach will reflect a positive image of Abu Dhabi Polytechnic as a respected member of the community and that any dealings with Abu Dhabi Polytechnic are beyond reproach and professionally fulfilling.

It is the responsibility of the Purchasing Section to ensure that all purchasing and procurement activities are fair, honest, and carried out in accordance with these policies and guidelines. Directors, managers and section heads have an important role in supporting the Purchasing Section and ensuring that these policies are implemented and adhered to.

Contained in this section are procedures concerning issues such as delegation of authority, conflict of interest, competitive bidding guidelines and additional policies to ensure fair and competitive practices throughout the purchasing and procurement processes. An official IAT document that guides these processes is provided in **Appendix 4: Financial Delegation of Authority Chart.**

## 7.1 Introduction

Within the Support Services Directorate is the Procurement Section. The goal of this Section is to obtain appropriate supplies, equipment and services for Abu Dhabi Polytechnic, at the best value and in a timely manner. They will do this while maintaining fairness to vendors and abiding by applicable laws and regulations.

These policies and procedures have been created to foster achievement of this goal, however it is the responsibility of every member of Abu Dhabi Polytechnic involved in identifying and procuring goods and services to be informed about these policies and procedures, to abide by them, and to assist others in their compliance.

Abu Dhabi Polytechnic follows IAT's governing policies which are enacted by the Board of Trustees (BoT) and issued as the collective rules and regulations by which the IAT and its subsidiaries operate. These are further clarified in the IAT Policy Manual which is a system-wide collection of policies concerning the administrative and business management of the IAT and its subsidiaries. The policies and guidelines described herein concern the directives of the BoT and the administrative policies concerning the purchase or procurement (by means other than purchasing) of goods and services for use throughout Abu Dhabi Polytechnic.

These policies and guidelines for purchasing and procurement are designed to promote and encourage consistency in the application of national and international best practice in purchasing and procurement in educational organizations such as Abu Dhabi Polytechnic. Abu Dhabi Polytechnic and other facilities within the IAT may wish to develop and apply additional or more concise policies and procedures that are specific to their needs but they must be consistent with the policies and guidelines provided in the following.

In the event there is a conflict between policies the following precedence is to be followed:

- BoT collective rules and regulations.
- IAT Policy and Procedures Manual.
- IAT Purchasing and Procurement Policy and Guidelines

## 7.2 Purchasing and Procurement – Policy

In order for Abu Dhabi Polytechnic to achieve the objective of being the pre-eminent vocational education and training establishment there is a requirement to purchase or procure goods and services that are themselves recognized as being at the leading edge in terms of quality and functionality. They must, however, also be at the highest level of cost effectiveness, fitness for purpose, and availability as and when they are required. Overriding this is the need for transparency and fairness in all dealings with suppliers, vendors and purchaser so that Abu Dhabi Polytechnic is both a customer of choice and a model of integrity that others aspire to.

### 7.2.1 General Principles
In the application of these policies and guidelines the following will be in evidence:

- Purchasing and procurement activities reflect a positive image of the IAT.
- Purchasing and procurement will be conducted for the one purpose – the introduction of a new or enhanced capability to Abu Dhabi Polytechnic that enables it to achieve its short- and long-term goals and objectives. Even the replacement of an existing product, service or system will include the introduction of a new one, therefore any and all purchases or procurements will result in a new product, service or system – in other words, a new capability.

- The purchasing or procurement of any new capability is carried out in sufficient time to allow for the effective and efficient implementation or use of the goods and/or services being purchased or procured.
- The purchase and procurement of all goods and services are subject to these policies and guidelines.
- All vendors and suppliers with the capacity to support Abu Dhabi Polytechnic are given sufficient opportunities to do so.
- Vendors and suppliers are treated fairly, honestly, and with regard to their professional standing in the community.
- All information relevant to the supply of goods or services that support the introduction of any new capability to Abu Dhabi Polytechnic is provided to all prospective vendors or suppliers. Where this information changes, or additional information relevant to the supply emerges, this is provided to prospective vendors and suppliers in sufficient time to enable them to amend (if required) their offers prior to submission.
- The selection of preferred vendors or suppliers is based on established criteria which includes, but does not always have to be limited to, value for money, fitness for purpose, and timeliness of supply.
- Where a vendor or supplier has been selected over others, details as to why they have been selected are made available, if requested, to the unsuccessful tenderers or bidders. Feedback also, upon request, is made available to unsuccessful tenderers or bidders.

## 7.2.2   Categories of Capability

In order to better manage the way in which goods and services are purchased or procured, the following system of capability categorization is introduced as policy:

- **Category A:** This is a **_new capability_**, for example Contract for Services or resources required for new buildings or classrooms.

- **Category B:** This is an **_extension of an existing capability_**, for example an extension of a cleaning contract or additional resource requirements for the courses currently being run or an extension to a contract.

- **Category C:** This is a **_replacement capability_** for equipment etc. that is approaching the end of its lifecycle or has broken and cannot be repaired. This includes buildings but not building maintenance.

- **Category D:** This is an **_alternate capability_**, for example equipment that is an alternative to that which Abu Dhabi Polytechnic is currently using.

- **Category E:** This is a **_learning resource capability_**, for example equipment or resources required to support proposed curriculum.

- **Category F:** This is **_infrastructure maintenance_** such as buildings, grounds, car parks etc.

Categories for software are defined separately in this policy and guidelines.

## 7.2.3   Defining Categories of Capability

By identifying the category of capability or item required the Purchasing Section is able to determine a priority for the purchase and, through this, will be better prepared to build a business case when seeking funding for the purchase.

Staff members can assist the Procurement Section by self-categorizing the item(s) they are seeking. The following is a guide to determining which category an item fits:

- **Category A.** Category A capability should be scoped as part of initial project plans and, in the case of buildings and civil projects, included in all original drawings. Directors and managers should take care in ensuring that when presented with project plans and drawings for new buildings all of the resources required are included. For civil projects this includes all of the resources required for each room (including common rooms, hallways, entrances etc.). Failure to include these will result in delay in purchase.

  Examples of Category A capability include:

  - New classrooms or buildings.
  - Contracts for Services.
  - Refurbishment of offices, rooms or buildings.
  - Motor vehicles (except replacement vehicles).
  - New computers and computer systems (but not items that are additional to what we already use).

- **Category B.** Category B capability will generally be similar to or the same as that which has been purchased in the past. It is not a new capability but is required to support new activities and should be detailed in any proposal put forward to the Directorate for approval before, for example, embarking on new courses or an extension of existing courses.

  Examples of Category B capability include:

  - Laptops for teachers conducting English Language courses for staff.
  - Books and other learning resources not identified at the time curriculum was developed and introduced.
  - Items not included in curriculum resource lists.
  - Extensions to existing contracts.
  - Additional books for the library (but not those associated with a particular curriculum).
  - Equipment or tools for lessons that individual lecturers or instructors would like to conduct.
  - Additional classrooms, teaching and learning material, or equipment (such as laptops, desks, audio/video equipment etc.).
  - School uniforms and shoes.
  - Student transport.

- **Category C.** Category C capability includes items required as a replacement for those that are wearing out or approaching the end of their lifecycle. Requests for Category C items should be planned so that sufficient time is available to call for tenders or ensure suppliers have the stock to ensure operations can continue without disruption. When the replacement is for an item that has been broken this should be investigated to determine whether or not the cost of repair or replacement is to be paid for by an individual (e.g., in the case of broken or damaged laptops) or out of central funds (e.g., in the case of 'fair wear and tear'). This advice should be sent to the Purchasing Section along with a request for replacement.

  Examples of Category C capability include:

- o Computers or computer systems to replace existing equipment or systems which are no longer capable of supporting operations. (Software is not included in this category.)
- o Car parks.
- o Desks or equipment that are reaching the end of their usability lifecycle.
- o Motor vehicles that are more cost effective to replace than to continue using.

- **Category D.** Category D capability includes items or resources sought as an alternative to those already in use in Abu Dhabi Polytechnic. As an alternate capability all requests should be accompanied by a business case justification for why this is preferred over that which is being used at other schools.

  Examples of Category D capability include:
    - o Blackberry mobile phones.
    - o Four wheel drive vehicles.
    - o Interactive whiteboards.

- **Category E.** Category E capability is used in support of curriculum and is therefore important to the achievement of the learning outcomes. This category includes items that can, and should, be planned well in advance of their introduction. They should be planned for during development and design of the curriculum and requests sent to the Directorate in sufficient time to enable the resources or equipment to be available at the commencement of the course.

  Examples of Category E capability include:
    - o Library books identified as resource material for specific curriculum.
    - o Student reading material.
    - o Audio or video tapes and CDs/DVDs (but not equipment).
    - o Learning resources such as tools, safety equipment and work benches.
    - o Consumable items such as welding rods and flax (usually purchased directly by schools).

- **Category F.** Category F capability is ongoing and should therefore be planned as part of a school's strategic and recurring planning cycle. A maintenance plan and budget should be developed each year to ensure that this is carried out before it becomes a problem (e.g., leaking roof).

  Examples of Category F capability include:
    - o Mowing and other landscape maintenance.
    - o Fire alarm and security systems maintenance.
    - o Building maintenance, including electrical, plumbing and air conditioning.
    - o Maintenance of sports equipment and outdoor sporting fields (including fences, goalposts, lights etc.).

All purchasing or procurement requirements will fall into one of these categories. They cannot fall into more than one category. All requests for goods or services must include the appropriate category and the Purchasing Section will check each request to ensure that the capability being sought is correctly categorized.

### 7.2.4    Software

There are four categories for new software acquisitions:

- **Category A Software. Corporate Applications:** Software to be used throughout Abu Dhabi Polytechnic System or at more than one school, campus or department.

- **Category B Software. Campus Applications:** Software to be used school or campus-wide or by more than one department, or requiring network level support at the school or campus.

- **Category C Software. Department/Division Applications:** Software to be used in multiple departments, either within a school or campus, or by similar departments at several schools or campuses, that does not require school or campus-wide network level support.

- **Category D Software. Limited Use Applications:** Software to be used for specialized applications within a school or department.

Applications for the purchase of software should be made to the ICT Department for evaluation prior to submission to the Purchasing Section. Applications not approved by the ICT Department will not receive Purchasing Section approval.

Because not all software applications will fit neatly into these categories, applications will be treated on a case by case basis.

## 7.3    Purchasing and Procurement

Abu Dhabi Polytechnic staff are not authorized to directly purchase supplies, services, controlled or capital items without the necessary approvals. The **Institute of Applied Technology Delegation of Authority Financial Controls Guide (Appendix 4)** provides guidance on the levels of authority which may approve any expenditure. While certain expenditure can only be approved by the Board of Trustees, at a minimum approval to progress an application to this level can only be given by a Senior Manager for Support Services although this will generally be carried out in consultation with the relevant branch or section manager, head of school or Director.

The Abu Dhabi Polytechnic Procurement Section will arrange for competitive tendering to be carried out for all purchases with an estimated total cost value (TCV – all costs including post-implementation and on-going maintenance) exceeding an upper limit to be determined. The only exceptions will be an approved Sole Source Procurement. Purchases with a TCV of less than the upper limit will require three (3) quotes to be obtained by those requesting the purchase and forwarded to the Abu Dhabi Polytechnic Procurement Section for selection and purchase.

Competitive tendering will be carried out using a Competitive Sealed Bid or Competitive Sealed Proposal. Prospective vendors or suppliers will be invited to respond to a Request for Proposal (RFP) or Request for Quote (RFQ) and submit a bid or proposal for the required item/s. These will be collected in a sealed container and, after the closing date, will be opened by a Tender Evaluation Committee brought together to analyze and assess each bid or proposal against the criteria. Depending on the conditions of the RFP or RFQ, further discussions may be carried out with those submitting responses or one or more vendors or suppliers selected. Unsuccessful bidders or proposers will be notified and thanked for their submission.

While each RFP and RFQ will be created with a particular purpose in mind, each will be developed using a standard template (a copy of which is at Appendix A) and have incorporated within them the Abu Dhabi Polytechnic Standard Terms and Conditions (see Appendix B). In

this way all Abu Dhabi Polytechnic purchasing activities will follow the same approach and in doing so ensure standardization across all contracts and agreements.

### 7.3.1 Cooperative Purchasing

When it is in Abu Dhabi Polytechnic's best interests, Abu Dhabi Polytechnic may enter into cooperative purchasing arrangements for acquisition of goods and services with any public entity or group and execute respective contracts under those agreements providing that the procurement methods and procedures of such entity or group are comparable to those of Abu Dhabi Polytechnic.

Abu Dhabi Polytechnic may also use pre-existing procurement contracts of public entities or groups when the procurement methods and procedures are comparable to those of Abu Dhabi Polytechnic and all parties (sellers and buyers) are in agreement that Abu Dhabi Polytechnic is eligible for pricing, terms and conditions of these agreements.

The Abu Dhabi Polytechnic Director or procurement manager of the respective campuses will ensure that the procedures used to determine a contract award, and the terms and conditions of the contracts are comparable to Institute policies and procedures.

### 7.3.2 Abu Dhabi Polytechnic System-Wide Purchasing

When it is in Abu Dhabi Polytechnic's best interests, contracts will be established for use by all or several campuses. Each school Director or purchasing manager shall maintain information on these contracts and make them available to user departments. Directors and purchasing managers shall exercise due diligence to make certain these contracts are used and that Abu Dhabi Polytechnic does not commit any breach of these contracts. The manager of the Purchasing Section will work with the staff of the Purchasing Section to establish and maintain the appropriate system-wide contracts.

### 7.3.3 Affiliation/Sponsorship by Institute

Outside entities may be formally affiliated with Abu Dhabi Polytechnic in a mutually beneficial Endeavour. Public and not-for-profit entities and higher education institutions can be sponsored through Abu Dhabi Polytechnic's procurement contracts under certain conditions. Eligibility shall be determined by the Senior Manager of Support Services or the Abu Dhabi Polytechnic Director. Participation shall not be construed to be obligatory by any affiliated entity and in no case shall the evaluated merit for the affiliated institution compromise Abu Dhabi Polytechnic's abilities to acquire the best contract.

### 7.4 Sole Source Purchases

Certain purchases can qualify for sole source purchase. This is the purchase of goods or services from a single source without first going to public tender. These purchases are to be treated as exceptions to normal bidding procedures and included in all purchasing requests should be a signed statement stipulating the reason for sole source purchase.

### 7.4.1 Sole Source Documentation

A statement supporting the request for sole source purchase must be made by a competent expert in the field in which the product will be used. This statement must indicate that in the professional opinion of the certifying individual:

- This is the only product that can be used to accomplish the task necessary in an appropriate manner, and must list specific reasons why this is the case, and

- This product is available only from the source indicated; there is no other distributor or provider.

A written quotation from the vendor must accompany the request.

### 7.4.2 Authority to Approve Sole Source Purchases

The Senior Coordinator of Support Services may approve a sole source request when total value of purchase/scope of contract does not exceed an upper limit to be determined. All sole source purchases exceeding this limit must have approval from the Senior Manager of Student and Support Services.

### 7.4.3 Blanket Purchase Orders (Not Competitively Bid)

Miscellaneous blanket purchase orders are granted to departments for a designated time period. Examples of such purchases are library books or consumables such as stationery.

These purchase orders are designed for frequent ordering, receiving and billing from a single vendor during this time frame. Items purchased through these vendors are low in unit price, have numerous product or part numbers, and usage patterns for single items are erratic and non-repetitive by nature, which do not lend themselves to bidding.

Total dirham expenditures for the term of the blanket order that is not competitively bid cannot exceed [an upper limit to be determined].

### 7.4.4 Blanket Purchase Orders (Competitively Bid)

Blanket purchase orders (bid) are also known as term contracts, standing orders or Volume Purchase Agreements. Total orders to be placed against the contract are to be estimated at the time the contract is signed and the required approvals of the contract obtained. Total purchases against the contract should be periodically estimated and if additional purchases are anticipated which would push expenditures above the original amount approved at the time the contract was signed, then additional approvals, if necessary, must be sought before purchases resume.

Total dirham expenditures for the term of the blanket order that is competitively bid cannot exceed [an upper limit to be determined] without approval of the Director, and cannot exceed [an upper limit to be determined] without approval of the Board of Trustees.

### 7.4.5 Emergency Purchases

Institute personnel may make emergency purchases in cases that have or could impose significant provable loss to Abu Dhabi Polytechnic or where human life or property is endangered. Examples include emergency repair or maintenance.

When an emergency condition arises, and the need cannot be met through normal procurement methods, the emergency purchase shall be made with such competition as is feasible under the circumstances. Whenever practical, approval of the Senior Coordinator of Support Services shall be obtained prior to the purchase.

The person responsible for the emergency purchase shall make a written determination stating the basis of the emergency purchase and for the selection of the particular contractor. A

written account of the emergency circumstances shall be sent promptly to the manager of the Procurement Section and Senior Coordinator of Support Services as soon as possible. In the event that the amount exceeds an upper limit to be determined, the Director shall forward this information to the Senior Coordinator of Support Services. Normal purchasing procedures shall be followed as soon as the emergency is over.

## 7.5      Petty Cash

Petty cash purchases may be made by schools or departments upon the approval of the relevant Director or manager. The Director may, in exceptional cases, authorize expenditures that exceed [an upper limit to be determined] where the need for such expenditures is clearly stated and the best interest of Abu Dhabi Polytechnic would be served.

Wherever possible and practical, items that cost [an upper limit to be determined] or less and are not available from Institute sources and cannot be purchased with a Procurement card may be purchased from local vendors using petty cash funds.

Petty cash reimbursements cannot be made for the following items:

- Purchases from Institute sources such as the school shop or canteen.
- Items for personal loan or use, including, for example: coffeepots or biscuits (excluding public reception areas), gifts, flowers, long distance phone calls, phone cards.
- Hazardous or radioactive materials.
- Logo/Licensed items.
- Personal expenses or cash advances.
- Services rendered by an Abu Dhabi Polytechnic employee.
- Items or services on exclusive term contracts through the Purchasing Section.
- Travel expenses.

Each Petty Cash purchase must be recorded on a Petty Cash Voucher and accompanied by appropriate documentation of the sale, including, for example, a cash register tape imprinted with the vendor's name or a written sales receipt signed by the sales clerk.

## 7.6      Credit Card

Directors and Senior Managers may use credit cards, within delegated levels of authority, for purchases made by an individual on behalf of Abu Dhabi Polytechnic. Credit cards are intended to replace small amount purchase orders and to reduce the amount of blanket purchase orders and petty cash only within relevant procurement card guidelines.

Credit cards are issued to individuals within Abu Dhabi Polytechnic departments upon completion of an application to, and training by, the Abu Dhabi Polytechnic Purchasing Section manager. Credit cards are for Abu Dhabi Polytechnic purchases only and may not, under any circumstances, be used for personal purchases.

## 7.7      Institute-Operated stores

Abu Dhabi Polytechnic-operated stores, located on campus, have authority to purchase certain goods for resale without the prior consent of the Abu Dhabi Polytechnic Purchasing Section. The store may sell items that assist the students in their study or pleasure, such as office supplies, calculators, books, manuals, study aids, computers, wearing apparel, packaged food

products, etc. The store manager is authorized to issue purchase orders for these items for resale without taking competitive bids. Students, faculty, staff, alumni and family members, and the general public may purchase these products from the store, provided personal funds are utilized.

Departmental purchases from the store must be limited to low cost and emergency purchases. Single purchases from the store must not exceed the limits set for that school unless the items purchased have been approved and acquired through Abu Dhabi Polytechnic Purchasing Section. Splitting or stringing of purchases from the store is prohibited.

### 7.7.1 Storeroom Purchases

Abu Dhabi Polytechnic may have a General Storeroom, supply center or a storeroom-type supply contract which provides various general supplies for sale to Abu Dhabi Polytechnic departments. Abu Dhabi Polytechnic may elect to sell such items from those facilities to recognized campus student organizations, and approved public, not-for-profit entities, that have cooperative purchasing agreements with Abu Dhabi Polytechnic.

### 7.7.2 Items for Retail Resale

Unless specifically addressed and provided for elsewhere in this policy manual, items for resale by Abu Dhabi Polytechnic must be purchased through the Abu Dhabi Polytechnic Purchasing Section. Policy guidelines may permit waiving the bid process in some cases. The relevant Director and manager of the Purchasing Section will work together in establishing such guidelines, if or when required.

### 7.8 Miscellaneous Purchases

### 7.8.1 Construction

All construction requirements, whether for repairs, remodeling or new construction, shall be handled as outlined in the Facilities Management Policies and Procedures Manual.

### 7.8.2 Drugs and Hazardous Materials

All purchases of drugs and hazardous materials are to be made in compliance with the relevant laws and safety guidelines. The manager of the Purchasing Section will work with the Health and Safety Officer in order to assure that such products are shipped, stored and handled in accordance with Institute safety policies.

### 7.8.3 Vehicles

The criteria used to specify and evaluate bids for new vehicles shall consider fuel economy. Life cycle costs may be used to determine the best bid for new vehicles.

Passenger vehicles, not including station wagons, vans, trucks, police or emergency vehicles, off road vehicles or other special purpose vehicles, shall meet or exceed the Corporation Average Fuel Economy (CAFE) standard, 15 U.S.C. 2002. This standard shall be applied against the EPA fuel economy rating for highway mileage. The Chairman may grant exceptions.

### 7.8.4    Alternative Fuel Vehicles

Alternative fuel vehicles may be purchased when life cycle costs justify their use and fuel is available in the markets where the vehicle will be operated. Alternative fuel is defined as any fuel, including any alcohol fuel containing eighty-five percent or more by volume of such natural gas, liquefied petroleum gas, and hydrogen, or any power source, including electricity.

### 7.8.5    Software and Computing Equipment

Software maintenance agreements and licenses will be arranged through the Abu Dhabi Polytechnic ICT department.

Software maintenance agreements and licenses over an upper limit to be determined and computing equipment over an upper limit to be determined which are not on a volume purchasing agreement require the approval of the Senior Coordinator of Support Services. All software purchases must be in accordance with the Abu Dhabi Polytechnic Software Acquisition Guidelines.

### 7.8.6    Surplus Property

The Abu Dhabi Polytechnic Procurement Officers shall have the right to purchase used or surplus government or privately owned property within their delegated limits, up to an upper limit to be determined per bid or as a sole source through public auction, bid or negotiation. Any items over an upper limit to be determined must be approved by the manager of the Procurement Section.

### 7.9    Bids and Approvals

All formal requests for prices in the form of bids, quotations or proposals for all materials, services and equipment purchased must be made by the Purchasing Section, unless otherwise delegated by the Purchasing Section in writing.

The types of solicitations issued by the Purchasing Section depend, in part, upon the complexity of the specifications and the anticipated cost for the goods/services.

### 7.9.1    Request for Bids (RFBs)

Requests for Bids are issued when the specifications are of a nature that the award is to be made upon the lowest bid meeting the required specifications.

- **Formal:** Formal RFBs are issued when the anticipated cost is expected to be at, or exceed an upper limit to be determined and/or when it is in Abu Dhabi Polytechnic's advantage to include Abu Dhabi Polytechnic's formal terms and conditions. Formal RFBs are advertised in at least two (2) newspapers and/or electronic media and are posted in the Tenders & Contracts section of the Abu Dhabi Polytechnic website. Formal RFBs are typically available for response for 2-4 weeks.

- **Standard:** Standard RFBs are issued when the anticipated cost is expected to be less than an upper limit to be determined and/or when Abu Dhabi Polytechnic's abbreviated terms and conditions are sufficient. Standard RFBs are posted in the Tenders & Contracts section of the Abu Dhabi Polytechnic website. Standard RFBs are generally available for response for 2 weeks.

### 7.9.2 Request for Proposals (RFPs)

Request for Proposals are issued when the specifications or scope of work is complex and/or when subjective factors, other than price alone, are to be used in the evaluation for award. (See **Award of Contracts** below for additional information). Abu Dhabi Polytechnic's formal terms and conditions are included in the RFP document. If the anticipated cost is expected to be at or to exceed an upper limit to be determined, RFPs are advertised in at least two (2) newspapers or electronic media. RFPs are posted in the Tenders & Contracts section of the Abu Dhabi Polytechnic website. RFPs are typically available for response for 2-4 weeks or longer.

### 7.9.3 Request for Quotations (RFQs)

Requests for Quotations are similar to RFPs and can sometimes be issued using the same format and terms and conditions. An RFQ will generally be issued when Abu Dhabi Polytechnic is considering purchasing or procuring goods or services but a final decision has not yet been made.

An RFQ's evaluation criteria is primarily the cost (purchase or through lifecycle costs) of the items, goods or services being sought, however this may be combined with other criteria. RFQs can be issued through the Tenders & Contracts Section of the Abu Dhabi Polytechnic website or invitations (solicitations) to respond to an RFQ made to select suppliers. With an RFQ the lowest price need not necessarily be the basis upon which the successful tenderer is determined.

### 7.9.4 Methods of Issuance

It is the policy of Abu Dhabi Polytechnic that when preparing competitive bids, a sufficient number of vendors should be contacted/solicited to ensure fair and open competition in the procurement process.

The Purchasing Section shall have the discretion to use the most appropriate method to inform potential suppliers of Abu Dhabi Polytechnic's needs and to determine to whom the requests should be sent.

The Purchasing Section may take into account the following factors, among others, in determining the method of issuance:

- Complexity of the specifications
- Number of known suppliers
- Expected acquisition cost of products/services being requested
- Time constraints

Examples of appropriate issuance methods include:

- Complete printed document sent by:
    - o  Mail
    - o  Small package delivery services, such as express mail
    - o  Courier
    - o  Facsimile
    - o  E-mail
    - o  Internet

- Telephone quotation
- Transmittal notification letter to specific suppliers, which notifies them that a request is available and may be obtained by following a procedure outlined in the notification. (Examples: call or write to Abu Dhabi Polytechnic, or download from the Tenders & Contracts section of the Abu Dhabi Polytechnic website)

Purchases estimated to cost an upper limit to be determined or more shall be advertised in two newspapers in such places as are most likely to reach prospective bidders, or advertised in an electronic medium if this method is more advantageous in soliciting competitive bids.

RFBs/RFPs which have been issued will be notified in the Tenders & Contracts sections of the Abu Dhabi Polytechnic website.

### 7.9.5 Receipt of Bids

Any of the methods identified above may be used for receipt of bids at the discretion of the Purchasing Section.

Standard Terms and Conditions, as applicable to specifications, bid requests, purchase orders and contracts, are approved by the Senior Coordinator of Support Services. No changes, deletions, exceptions or additions to the Standard Terms and Conditions shall be made unless written approval has been secured from the Senior Coordinator of Support Services.

### 7.9.6 Time Period for Bids/Proposals

It is the responsibility of Purchasing Section staff to ensure that potential vendors/ suppliers have a reasonable amount of time to prepare bids and proposals and submit/deliver them. In determining this time, the relative complexity of each request as well as the manner in which it is to be transmitted to and received from prospective vendors/suppliers among other factors are to be considered. For written requests that are to be physically transported and submitted/delivered, 10 business days is a norm, with 15 business days or more allowed for more complex requests being typical. For requests transmitted and received electronically (e.g., by fax, electronic mail, Internet), a shorter time period may be used.

### 7.9.7 Award of Contracts

The criteria against which RFBs, RFPs and RFQs will be evaluated will form part of the information issued to prospective respondents. Where the cost of items is cumulatively less than an upper limit to be determined then expressions of interest may be sought from organizations whose ability to provide such goods or services has already been determined. The evaluation criteria in this case will generally be price alone. In all circumstances the following will apply.

### 7.9.8 Request for Bid

Contracts resulting from a Request for Bid shall be awarded to the lowest responsible and responsive bidder whose bid conforms to the specifications and meets all other requirements and criteria set forth in the Request for Bid. A responsible bidder is one who has the capability in all respects to perform fully the contract requirements, and the integrity and reliability which will assure good faith performance. A responsive bidder means a bidder who has submitted a bid, which conforms in all material respects to the Request for Bid.

### 7.9.9    Request for Proposal

An RFP is used when other factors are to be considered in addition to cost and specified mandatory requirements. For example, an RFP might be used for highly technical equipment, software, or for procurement that includes a major service component. The proposal that meets the specified mandatory requirements and is determined to provide the best value for Abu Dhabi Polytechnic will be accepted.

- Criteria for award will be set in advance of the closing date for receipt of proposals. As a norm, 100 points will typically be used as the determining factor for the award with at least 50 of those points being given to price. The Campus Procurement Manager and the Chief Procurement Officer must approve any exceptions to fewer than 50 points being given to price.

- The remaining points after price in the criteria could be for such things as desirable functionality, maintenance, service, support and suitability for purpose intended, vendor capability or other as determined by requesting department and the Purchasing Section.

### 7.9.10    Request for Quotation

An RFQ is issued to selected tenderers whose ability to supply the goods and services is generally pre-determined and other information, such as organizational responsiveness, business structure, etc., is not necessary. An RFQ is issued as a call for expressions of interest only and does not imply that a contract will be formed or let to any organization responding. Further, a response to an RFQ should not be taken as an offer and used as the basis for a contract unless the respondent agrees that the quote is a price they are prepared to accept for the goods or services. RFQs will generally state that the quotation is fixed for a certain period of time allowing both parties to enter into negotiations before settling on a final figure.

### 7.10    Contract Change Management

Once signed by both parties, contracts cannot be changed unless such changes are agreed to by both parties in writing. The Purchasing Section shall be responsible for negotiating changes to contracts and may delegate all or some of these activities to schools, sections or departments as appropriate.

There are three elements of a contract that may be subject to change:

- The scope of the contract.

- The financial elements of the contract.

- The administrative aspects of the contract.

### 7.10.1    Changes to the Scope of a Contract

The scope of a contract generally includes the objective to be achieved (e.g., the item(s) to be purchased, the civil construction to be carried out, the delivery of certain services etc). Included in this objective is the actual goods or service, the timeframe in which they are to be delivered, the desired quality, and the cost. Except for the cost, all of these elements are determined by the individual or corporate entity seeking the goods and service and therefore cannot be changed except with their express permission. If a change to the scope of the project is sought by the vendor then this can only be undertaken in conjunction with the individual or entity concerned. If changes to the cost also mean changes to the quality then this too must involve the individual or entity seeking the item(s).

If the individual or entity purchasing the item(s) seeks a change after the contract has been signed then this must be passed to the vendor as soon as practicable. If such changes require an additional cost then a decision must be made as to whether to continue with the contract or seek alternative suppliers. However, contracts can only be broken for the reasons contained in the contract itself therefore care must be taken when deciding on this course of action.

### 7.10.2 Changes to the Financial Elements of the Contract

These normally involve changes to the way payments are made to the supplier and will generally be the responsibility of the Finance Department to negotiate. Significant changes to the financial elements of a contract, for example the overall price, amount of deposit required, or the terms and conditions of payment etc., may have a residual impact on the quality of the goods or services provided. Undue pressure on a supplier to lower his costs or change the terms and conditions of payment may result in a significant lowering of the quality of goods or services provided therefore such negotiations should never be conducted without the input of the individual or entity seeking the purchase.

### 7.10.3 Changes to the Administrative Aspects of a Contract

The administrative aspects of a contract concern the way the contract is managed, for example the Point of Contact (POC) in either Abu Dhabi Polytechnic or the vendor's company. These may be made without renegotiating the terms and conditions of the contract.

### 7.11 Protest Procedures

As noted in Section 1. it is a policy of the IAT that anyone with a concern regarding their dealings with Abu Dhabi Polytechnic shall be given every opportunity to have it addressed. It shall therefore also be the policy of Abu Dhabi Polytechnic that all actual or prospective bidders, respondents, tenderers, or contractors that believe they are aggrieved by the solicitation or award of a contract be offered administrative adjudication.

In such cases the following procedures shall be adhered to:

### 7.11.1 Complaint to School Director or Entity Manager

Any party that believes it is aggrieved should seek resolution of their complaints initially with the school Director or facility manager at the school or facility that issued the solicitation. Such complaints may be made verbal or in writing.

### 7.11.2 Issue Escalation

In the event that the aggrieved party feels that their concern is not receiving sufficient attention, that essential aspects of the protest are not being given due weighting, or that to make a complaint to the school Director or facility manager may lessen their chance of a fair hearing, a complaint may be made to the manager of the Purchasing Section.

### 7.11.3 Filing of Protest

Formal protests shall be made in writing to the Director or manager, or to the manager of the Purchasing Section, and shall be filed within 7 calendar days after the protestor knows or should have known of the facts giving rise to the protest. Protests filed after the 7 calendar

days will not be considered. The written protest shall include, at a minimum, the following information:

- clear indication that the communication is a formal, written protest;

- the name and address of the protestor;

- appropriate identification of the procurement such as the solicitation number;

- a statement of reasons for the protest; and

- supporting exhibits, evidence or documents to substantiate any claims.

The Director or manager, or manager of the Purchasing Section, may request additional information from the protestor who shall submit such information within the time periods established by the person making the request. When a protest has been filed within 7 calendar days and before an award has been made, the Director or manager shall make recommendation to the Purchasing Section that no award of the contract should be made until the protest has been settled unless, after consultation with the using department, the Director or manager determines that the award of the contract without delay is necessary to protect substantial interests of Abu Dhabi Polytechnic. In which case their recommendation should be that the contract be awarded only to the extent that the immediate requirement can be fulfilled. This may mean that only a part of a contract may be awarded if other elements of it are in dispute.

### 7.11.4    Protest decision

A decision on protest shall be made in writing by the Director or manager, or manager of the Purchasing Section, within 7 calendar days after receiving all relevant, requested information. If a protest is sustained, the Director or manager's, or manager of the Purchasing Section's, decision shall include the available remedy or remedies.

### 7.11.5    Appeal

An appeal of a decision of the Director or manager may be made by the protestor to the Senior Manager for Student and Support Services. The appeal shall contain a detailed statement of the factual and legal grounds upon which reversal or modification is deemed warranted, specifying any errors of law or information not previously considered. Appeals of a decision to the Senior Manager for Student and Support Services shall be filed not later than 7 calendar days after the receipt of such decision. A decision on the appeal will be made as expeditiously as possible. The decision of the Senior Manager for Student and Support Services shall be final.

### 7.12    Preferences – General Principles

In the interests of expanding and enhancing the UAE economy, and to allow local suppliers the opportunity to grow through participation in the economy, Abu Dhabi Polytechnic may make exceptions to its policies in order to give preference to one organization over another.

If the goods or services offered in response to a call for suppliers is equal across a number of offers, the following general principles shall apply:

### 7.12.1 Preference for UAE Firms

Preference shall be given to UAE products, materials, services and firms when the goods or services to be provided are equally or better suited for the intended purpose and can be obtained without additional cost. Firms are considered "UAE firms" if they maintain a regular place of business in the any emirate of the UAE.

Preference need not be given to UAE products, materials, supplies, provisions, commodities and other articles unless they are found in marketable quantities in the UAE.

### 7.12.2 Non-Residents Deemed UAE Firms

Corporations not incorporated under the laws of UAE and firms whose members are not residents of the state of UAE and individuals not residents of the UAE who have and maintain within the state of UAE a regular place of business shall be deemed "doing business as UAE firms, corporations or individuals" when consideration is being given to bids for acceptance by Abu Dhabi Polytechnic.

### 7.12.3 Conditions for Exemption

On order of the Director, exemption from this policy may be granted where preferred products or services do not appear to be readily available and when the Senior Manager of Student and Support Services finds that an emergency exists which renders time unavailable to search for preferred products and services; or the amount involved in the contract or purchase is so small that the expense of advertising for requests for bids or the search for preferred products or services cannot be economically justified; or in the case of services contracted for which are unique in character.

### 7.12.4 Participation by Disadvantaged Vendors

Small business concerns and small businesses owned and controlled by socially and economically disadvantaged individuals shall have the maximum practicable opportunity to participate in performing contracts and purchase orders let by Abu Dhabi Polytechnic.

Abu Dhabi Polytechnic shall award all contracts and purchase orders on a fair and equitable basis, in accordance with its policy to not discriminate against any business enterprise, including any owned or operated by women, minority group members, or socially or economically disadvantaged individuals.

Efforts will be made to inform school or facility buyers about the availability of minority suppliers for purchases that do not require bids, and to inform minority suppliers about bid requests to which they may be able to respond.

Abu Dhabi Polytechnic will assist minority vendors in learning how to do business with Abu Dhabi Polytechnic as follows:

- Information on purchasing procedures will be provided in special publications designed to assist in learning how to do business with Abu Dhabi Polytechnic.

- The Institute will compile, maintain and/or make available source lists and directories for the purpose of increasing procurement from minority and women owned businesses.

- Minority vendors will be solicited on each procurement for which such businesses may be able to respond.

- Goals will be established for expanding the business done with minority businesses. A quarterly review will be made to evaluate the performance of the purchasing units regarding goals and to aid in restating the goals of each.

## 7.13 Splitting or Stringing Purchases

Splitting or stringing purchases is the practice of issuing multiple purchase orders, departmental orders, procurement card transactions, petty cash transactions or requisitions for purchasing like items or services, with the willful intent to circumvent the purchasing policy. Splitting or stringing purchases will be dealt with as an impropriety and may result in withdrawal of delegated purchase authority. In addition, the person(s) responsible may be subject to disciplinary actions, and may be personally obligated to pay for the items or services.

## 7.14 Preparing a Purchase Requisition

A Purchase Requisition Form (PRF) must be completed and submitted to the IAT Purchasing Section as soon as the required goods or services have been identified. A copy of this form is at Appendix C and on the Intranet. On receipt the Purchasing Section will review the PRF and check to ensure it is complete, the required level of authorization has been included and all attachments are included. If the PRF is not properly completed, or the required attachments do not accompany it, the form will be returned to the section or school concerned. It is not the Purchasing Section's responsibility to correct or complete incorrectly filled out forms.

If the requesting section or school has previously received quotes or bids, these must be attached to the PRF for consideration. The PRF must also carry, by way of signature, the appropriate level of authorization. These are as follows:

| Contract Value | Authorized signature | | | |
|---|---|---|---|---|
| | an upper limit to be determined or less | Above an upper limit to be determined | an upper limit to be determined or above | an upper limit to be determined or above |
| Requisitioner | X | X | | |
| Project Manager | X | X | X | |
| Section Manager/Director | | X | X | |
| Senior Manager | | X | X | X |
| Director General | | | X | X |
| Board of Trustees | | | | X |

Substitute signatures will only be accepted if the relevant signatory has provided a delegation of authority to that specific person. Unsigned or incorrectly signed PRFs will not be accepted.

## 7.14.1 Specification Sheets

If specifications and/or a statement of work are required, they must be submitted with the Purchase Requisition. In order to expedite the purchasing process, departments must prepare a Microsoft Word or Excel document to identify the specifications and/or statement of work.

Please attach a copy of the specifications to the Purchase Requisition and E-mail the specifications to the MSU-PD. This will ensure that the specifications and/or statement of work are properly captured in the solicitation and the contract.

### 7.14.2 Urgent Requests

Where items are required urgently, or there is a need to shorten the normal tendering period, requests for early expedition of requisitions may be entertained depending on the nature of the urgency. Requests that become urgent because, for example, the requisitioner forgot to submit it will be considered on a case by case basis.

Urgent requests should be marked as such and hand delivered to the Purchasing Section. Before doing so they should be checked to ensure that the PRF is correctly completed, that all of the necessary authorizations are on the request and that all attachments are included. A written explanation should also be attached describing the urgency of the requisition and why it should be treated as a priority.

Where appropriate, the pre-selected list of vendors will be assessed for their ability to provide the goods or services being sought. Alternatively, the requisitioner may contact at least three vendors or suppliers and receive from them quotes for the supply of the required goods or services. These will be considered by the Purchasing Section and, if found to be as capable of meeting the conditions of this policy as any other vendor or supplier, they will be assessed by a technical assessment team and the appropriate organization recommended.

In all cases the Purchasing Section will obtain bids from suppliers and immediately issue a Purchase Order. Suppliers will be requested to expedite delivery direct to the requisitioner. Award will be to the lowest bidder who meets the specifications and required delivery date.

### 7.15 Preparing the Contract

A written contract is required for all purchases over an upper limit to be determined. This may be in the form of a Purchase Order (PO) or a Contracted Services Agreement (CSA), depending on the supplies or services to be acquired. No other form of contract is to be used without obtaining prior approval from the IAT Procurement Section. If a vendor or supplier suggests another type of contract, the Purchasing Section must be contacted before any discussions regarding the contents or scope are carried out.

The PO and CSA forms contain terms and conditions that are applicable to all contracts and ensure that terms and conditions which meet IAT requirements are included. Schools and sections are not authorized to negotiate these terms and conditions. If any special requirements are sought either by the requisitioner or the vendor/supplier, these will be negotiated by the Purchasing Section on behalf of Abu Dhabi Polytechnic. Where uncertainty exists regarding certain terms or conditions the appropriate legal authority will be consulted.

For purchases issued by the IAT Purchasing Section, the appropriate form of contract will be determined. This will be either a Purchase Order, Purchasing Agreement, CSA or contract resulting from an RFP/RFQ.

### 7.16 Purchasing Code of Ethics

The Institute has adopted a Code of Ethics designed to provide a framework for the moral and ethical purchase or procurement of goods and services essential to the achievement of Abu Dhabi Polytechnic's objectives. It is expected that all staff involved in purchasing or procuring

goods or services on behalf of Abu Dhabi Polytechnic, whether employed directly by Abu Dhabi Polytechnic or not, will abide by this Code of Ethics.

The Abu Dhabi Polytechnic Code of Ethics is attached at Appendix 1. These have been adopted from the National Association of Educational Buyers Incorporated. This is a non-profit organization set up in the USA to bring together purchasing and Purchasing Sections of educational institutions in the achievement of common aims and objectives.

### 7.16.1    Conflict of Interest

Institute employees shall faithfully discharge their duties and refrain from knowingly engaging in any outside matters of financial interest incompatible with the impartial, objective, and effective performance of their duties. They shall not realize personal gain in any form which would influence improperly the conduct of their Institute duties. They shall not knowingly use Institute property, funds, position or power for personal or political gain. They shall inform their supervisors, line manager or Director, and the Procurement Section, in writing, of reasonably foreseen potential conflicts.

If the financial interest of the Abu Dhabi Polytechnic employee in the private firm or corporation is such that it could influence the decision-making process of the private firm or corporation, and the employee could also influence the decision-making process of Abu Dhabi Polytechnic in entering into or performing the contract:

- The Institute shall not enter into the contract, or shall cancel the contract, if the terms of the contract so permit; or

- The Institute employee shall take such action as is necessary to remove herself or himself from a relationship with the private firm or corporation that could influence the decision-making process of the private firm or corporation; or

- Abu Dhabi Polytechnic shall establish a procedure to remove any opportunity for the Abu Dhabi Polytechnic employee to influence the entering into the contract by Abu Dhabi Polytechnic or the manner in which the contract is performed by Abu Dhabi Polytechnic.

Conduct by an employee that violates Abu Dhabi Polytechnic's policies, regulations or rules, pertaining to conflict of interest, shall constitute a breach of the employment contract and may lead to disciplinary actions. The Institute's Conflict of Interest Policy should be consulted for further details.

### 7.16.2    Employee Liability

Any employee who commits Abu Dhabi Polytechnic to a purchase, sale, lease or other arrangement without proper authorization may be personally liable for the transaction.

School staff, buyers and any other Institute employee acting in a procurement capacity may be liable for damages to Abu Dhabi Polytechnic if they injure Abu Dhabi Polytechnic through willful misconduct, bad faith, dishonesty or criminal negligence.

### 7.16.3    Purchases for Employees

The Institute of Applied Technology procurement services may not make any purchases for personal or private use by Institute personnel. Exceptions (such as microcomputers and related peripherals) will only be made under special contracts approved by the Board of Trustees.

### 7.16.4    Gifts and Gratuities

No Institute employee may accept for individual or personal benefit any gift or gratuity from any current or potential supplier of goods or services to Abu Dhabi Polytechnic. Any such gifts or gratuities must be presented to the individual's school or to the Directorate, through the Director or relevant Senior Manager, for the use by the school or IAT as a whole.

### 7.17    Delegation of Authority

The governance of the Institute of Applied Technology is vested in the Board of Trustees by Emiri Decree 32 of 2005. The policies governing and controlling purchasing practices for the Institute have been established and approved by the Board of Trustees and published in the IAT Policy and Procedures Manual.

### 7.17.1    Delegation by the Board

The Board has delegated to the Director General of the Institute of Applied Technology authority for procurement of supplies, equipment and services in compliance with the following policies from the Collected Rules and Regulations.

The Director General is authorized to:

- Facilitate cooperative purchasing arrangements with any public entity or group, and execute purchase contracts for Abu Dhabi Polytechnic under these arrangements, ensuring as he does so that the procurement methods and procedures of such entity or group are consistent with Institute policies; and to procure supplies and equipment for use at Abu Dhabi Polytechnic and other centers in which Abu Dhabi Polytechnic managed training and education is carried out, at contract prices arrived at through or negotiations by the approved consortiums when in the best interest of Abu Dhabi Polytechnic.
- Reject bids, reissue bids, or purchase items or services, on the open market if they can be purchased at a better price than bid.

Board of Trustees approval shall be obtained for:

- Purchase for unique items or services which do not lend themselves to competitive bidding when the cost is more than an upper limit to be determined except for proprietary licenses or maintenance agreements necessary for operation of Institute computing equipment, which case the Director General shall be authorized to enter into these contracts.
- Consultant agreements, when arrived at through a Request for Quotations (RFQ) or sole source, if they exceed an upper limit to be determined. Consultant agreements, when arrived at through a Request for Proposal (RFP) (where price is a component of the evaluation criteria), do not require Board approval.

The level of purchasing authority is detailed in the Institute's Delegation of Authority. Directors and managers are authorized to make purchases within their level of delegated authority. Purchases outside of these must be requested through the Purchasing Section.

In regard to purchasing the following principles are to apply.

### 7.17.2    Leases, Rentals and Lease/Purchases

Equipment should be leased or rented only when the item in question is to be used for a short period, or when factors make purchasing uneconomical or impractical.

### 7.17.3 Service/Maintenance Agreements

Maintenance or service agreements may be obtained for any equipment or software, which requires regular maintenance or service for continuous, efficient operation. Equipment typically covered by service agreements includes such items as office equipment, computing equipment and software, and specialized research equipment.

### 7.17.4 Equipment Upgrades

The Institute may consider equipment upgrades for existing owned equipment, either through competitive bidding or negotiation (in limited circumstances). The following are minimum considerations to either procurement method and to the limited negotiated method:

### 7.17.5 Competitive Bid or Negotiation

The estimated market value of the equipment proposed for upgrade must be considered before processing. If the existing item has market value, this should be added to the proposed upgrade cost to determine "cost for upgrade."

If approved to upgrade by "swapping" method (removal of old and replacement with a completely new item with a different serial number), Abu Dhabi Polytechnic will follow normal surplus property procedures. These procedures should determine if the old equipment could be utilized at a different location within Abu Dhabi Polytechnic.

If the equipment to be upgraded is to be removed and replaced with another item of equipment with a different serial number, standard bidding methods will apply.

### 7.17.6 Negotiated Upgrade Considerations

If not to be bid, negotiated upgrades must follow sole source guidelines as indicated below and elsewhere in this manual.

- If the value of the upgrade (market value of existing + price for upgrade) is less than an upper limit to be determined, no competitive bid is required.

- If the value of the upgrade (market value of existing + price for upgrade) is greater than an upper limit to be determined, standard bidding procedures would apply.

- If the upgrade involves adding capability to an existing piece of equipment, and is over the bid limit, Campus Procurement Managers should consider if it would be more appropriate to bid for a new piece of equipment with equivalent new capabilities in lieu of sole source processing.

### 7.17.7 Further Delegation

As authorized by the Director General the administrative purchasing policies are set and approved by the Director Support Services. The Director Support Services is further authorized by the Director General to govern and manage purchasing and contracting operations and negotiations for resolution of these matters for Abu Dhabi Polytechnic in compliance with Board of Trustees' policies.

The Director Support Services has delegated to the Manager, Procurement, the authority and responsibility to govern and manage the purchasing and contracting operations of Abu Dhabi Polytechnic in compliance with Board of Trustees' policies and administrative policies.

## 7.18    Approval Authority for Purchases

All requisitions for the purchase of supplies, equipment or services shall be approved only by a person who has been properly authorized by Abu Dhabi Polytechnic in accordance with established Institute policy. The Senior Manager for Student and Support Services and the Manager, Project Management Office, have full authority to question the quality, quantity, kind, and source of materials and services being requisitioned.

- The Director General and Director Support Services are authorized to approve purchase orders and contracts within limits delegated by the Board of Trustees.
- The school Directors are authorized to approve purchase orders and contracts within limits delegated by the Board of Trustees.

## 7.19    Purchasing Section

The Purchasing Section is a part of the Support Services directorate under the direction of the Director Support Services. It has responsibility for administering Abu Dhabi Polytechnic's purchasing policies and managing the purchasing operations.

The responsibility of the Purchasing Section is the organization and administration of unified, fair and effective purchasing services for all sections, schools and departments of Abu Dhabi Polytechnic. The goal of the purchasing staff is to obtain for Abu Dhabi Polytechnic the maximum value for every dirham expended while operating in compliance with the Board of Trustees and administrative policies.

To achieve this goal, the Purchasing Section has been charged by Abu Dhabi Polytechnic with the authority and responsibility for the following:

- Acquiring equipment, supplies and services for all schools, sections and departments of Abu Dhabi Polytechnic in an economical, expeditious and reasonable manner in accordance with Institute purchasing policies.
- Identifying qualified vendors and developing and maintaining good business relationships with them.
- Providing assistance to schools, sections and departments in preparing specifications and in analysis of bids received.
- Awarding contracts and assuring vendor performance.

## 7.20    Manager, Procurement

The Manager, Procurement, reports to the Senior Manager for Student and Support Services. The functional role and authority delegated to the Manager PMO includes the following:

- Oversee procurement activities of Abu Dhabi Polytechnic purchasing system in accordance with procurement and financial policies.
- Develop and interpret purchasing policy, prepare recommendations for purchasing authorizations, resolve questions and disputes, participate in system-wide buying, prepare and issue management reports, and promote good vendor relationships.
- Provide initial approval for contracts, agreements, equipment leases and purchase orders.
- Provide advice and guidance on all Institute procurement activities as needed.
- Hold meetings with all school, section and department procurement officers on a regular basis.

## 7.21    Contract Terms and Value Determination

Certain approval processes are outlined in other areas of these policy and guidelines. These processes differ depending on the contract term or contract value. The definitions below are provided to assist in the determination of this information.

- **Contract Term:** The expected length of time from the beginning to the end of the contract, if Abu Dhabi Polytechnic takes no action on its part to either extend or reduce the contract's length, by evoking cancellation or renewal provisions.

- **Contract Value:** The estimated value of purchases by, or commission to, Abu Dhabi Polytechnic during the "contract term" as determined above.

The following examples illustrate the difference between contract terms and contract value:

- **Contract term commences on a specified date and terminates on a specified date.** The value of the contract is calculated as the total of the stated costs for the specified time period. Contract language example: "The term of this contract shall be from January 1, 2000, through December 31, 2000." If the consideration is AED X per month, the calculation of the value of the contract is AED X multiplied by 12.

- **Contract is for a specified period, unless cancelled.** Because no action is required for the contract to continue, it must be assumed that the contract will run its full period. The value is calculated as the total of contract costs for the entire period. Contract language example: "Term of this contract shall be January 1, 2000, through December 31, 2003, unless cancelled in writing by either party with sixty (60) days notice. If the consideration is AED X per year, the calculation of value is AED X multiplied by 3.

- **Contract is for a stated period, and can be renewed for subsequent periods by written notification.** Because action is required on the part of Abu Dhabi Polytechnic to renew the contract, the value of the original contract is calculated up to the first renewal. Each subsequent renewal period is valued as an individual contract. Contract language example: "The term of this contract shall be from January 1, 2000, through December 31, 2000, and may be renewed for additional one-year terms by written notification sixty (60) days prior to expiration." If the consideration is AED X per year, the calculation of value of the contract is AED X.

- **Contract renews automatically for successive, but finite, periods unless terminated.** Contract term is calculated as the original term plus allowable renewal periods. Contract language example: "Term of this contract shall be January 1, 2000, through December 31, 2000, with up to two automatic annual renewals unless terminated by either party in writing sixty (60) days prior to renewal date." If the consideration is AED X per year, the calculation of value is AED X multiplied by 3.

- **Contract renews automatically for successive one year periods unless terminated.** Continuation of the contract requires no action on the part of Abu Dhabi Polytechnic to renew; therefore, the contract is considered to be a multi-year contract. Because a contract may continue indefinitely, it is impossible to identify the value of such a contract and therefore requires the approval of the Board of Trustees. Contract language example: "The term of this contract shall be from January 1, 2000, through December 31, 2000, and automatically renews annually unless terminated by either party in writing sixty (60) days prior to the expiration date." This type of language is discouraged and will be used on an exception basis only.

## 7.22    Debarment and Suspension

The Director Support Services shall have authority to debar or suspend a vendor for any just cause from consideration for award of contracts on site throughout Abu Dhabi Polytechnic. Notice shall be given to the vendor along with reasons for the debarment or suspension and which schools or campuses are affected.

Debarment or suspension will generally be taken on the advice of the Abu Dhabi Polytechnic Director and agreement with the IAT Director General.

### 7.22.1    Causes for Debarment or Suspension

The causes for debarment or suspension shall be included in any contract or agreement reached with vendors or suppliers. These causes will include, but not necessary limited to, any or all of the following:

- Violating any federal, Emirate or local law, ordinance, regulation, or Abu Dhabi Polytechnic policy found in the Institute of Applied Technology Policy Manual, in the performance of a contract. The particular provision shall be specifically identified in the notice to vendor.

- Willfully, or egregiously failing to perform in accordance with the terms and requirements of a contract/purchase order. Such actions shall include deliberate failure without good cause to perform in accordance with the specifications or within the time frame provided in the contract and/or a record of non-performance or unsatisfactory performance in accordance with the terms of one or more contracts.

- Intentionally providing false or misleading information, or willfully omitting substantive information on an application, in a bid/proposal, or in correspondence or communication to Abu Dhabi Polytechnic.

- Colluding with others to restrain competition or fix prices.

- Attempting to obtain information, by whatever means, related to a bid/proposal submitted by a competitor in response to a procurement solicitation in order to obtain an unfair advantage prior to a contract award.

- Contacting proposal/bid evaluators or any other person who may have influence over the award regarding a bid or proposal under consideration, without authorization from the Purchasing Department, for the purpose of influencing the award of a contract.

- Giving gifts, (other than incidental advertising items), meals, or trips to an Institute employee intending to provide a personal benefit to that employee and not a benefit to Abu Dhabi Polytechnic as a whole or to influence the award of a contract.

### 7.22.2    Debarment Procedures

The Director of a school or manager of a facility may debar a vendor or supplier from doing business on that particular school or facility with immediate effect if the cause of the debarment is such that the continued presence of the vendor or supplier can potentially jeopardize the good order and running of that school or facility. For all other incidents the debarment will take effect after discussions with, and the approval of, the Senior Manager for Student and Support Services.

A vendor may be debarred for a single incident of serious misconduct or after multiple less serious incidents. The Senior Manager for Student and Support Services shall notify the vendor

of the reason for debarment and any action that the vendor must take in order to be eligible to contract again. If the debarment is to apply to other schools or facilities, then the reasons for debarment and action that the vendor must take in order to be eligible to contract again shall be set out for each school or facility. After the time to appeal the decision has passed, the debarment shall continue until such time as the vendor takes corrective action as indicated in the debarment notice. The debarred vendor shall be removed from all solicitation mailing lists and any bids/proposals submitted by the vendor shall not be considered.

### 7.22.3    Suspension Procedures

The Director Support Services may suspend a vendor for cause from doing business on that particular school or facility. The vendor shall be mailed a formal notice of suspension outlining the reasons for, the specific conditions of, and the effective period of the suspension. After the time to appeal the decision has passed, the suspended vendor shall be removed from all solicitation mailing lists and any bids or proposals submitted by the vendor shall not be considered.

The suspension of a vendor may be for a period of up to one (1) year or longer if the seriousness of the situation warrants it. Upon completion of the suspension period it shall be the responsibility of the vendor to request reinstatement. Such request for reinstatement shall be made in writing. The Senior Manager for Student and Support Services may reinstate a suspended vendor when it is demonstrated that the cause for the suspension has been corrected.

### 7.22.4    Appeal Process

A debarred or suspended vendor may appeal the suspension or debarment by the Senior Manager for Student and Support Services by submitting a written request to the Director General within fourteen (14) calendar days after receipt of the formal notice of debarment/suspension. If the vendor requests an appeal, the Director General shall set a date for a hearing, not more than 30 calendar days after the vendor's request has been received. If the Director General has been involved in the decision to suspend or debar the vendor, or if for any reason the Director General chooses not to hear the appeal, then she/he will appoint a neutral individual to hear the appeal.

The Senior Manager for Student and Support Services, or designee, has the burden of going forward with the evidence relied on by the Director in making the decision to suspend or to debar. If the decision to suspend or debar the vendor will apply to other schools or facilities in the IAT, then a representative from each school or facility must be at the hearing to respond to questions concerning the reasons for suspension/debarment from their school or facility. The vendor shall have the right to see the evidence, cross-examine the witnesses, if any, who present testimony in support of the suspension/debarment and be given the opportunity to contest the evidence by producing documents, or adducing witness testimony in support of the vendor's position. Ultimately, the vendor must provide specific evidence and reason why the debarment/suspension is unwarranted. Based on this information, the debarment/suspension may be modified, rescinded, or affirmed by the Director General, or the appointed fact finder. Within fourteen (14) calendar days of the conclusion of the hearing, the decision of the Director General, or the appointed fact finder, shall be sent by certified mail to the vendor. The decision of the Director General shall be final.

## 7.23 Disposal of Property

Any school, department or division within Abu Dhabi Polytechnic, upon determining that an item is surplus to its needs, shall report this to the school or campus Procurement Officer.

The Director or department manager shall be responsible for preparing the surplus property for disposal prior to transfer to the Surplus Property Section of the Purchasing Section. Such tasks as removal and disposal of hazardous, biotoxic, and/or radioactive components of the equipment, or removal of licensed software through appropriate Institute procedures shall be included in this preparation.

### 7.23.1 Sale within Abu Dhabi Polytechnic

Purchasing Section shall offer surplus items to other schools, campuses or departments/divisions within Abu Dhabi Polytechnic. Sale price shall be as agreed upon by the Purchasing Section and the buying and selling departments.

### 7.23.2 Sale outside Abu Dhabi Polytechnic

If no need exists in other schools or departments, or other campuses as determined by the Purchasing Section, the value of the item will be determined by the Purchasing Section, and the property will be disposed of by the following methods:

- Items valued at less than [an upper limit to be determined] may be sold by the Purchasing Section by direct sale, auction or sealed bids.

- Items valued at more than [an upper limit to be determined] will be sold by public auction or sealed bids unless the manager of the Purchasing section determines it is in the best interests of Abu Dhabi Polytechnic to sell by other methods.

## 7.24 Inventory

This policy applies to all property and equipment purchased or constructed with Institute funds. In addition, it applies to all property received by donation, or that acquired through governmental surplus property procedures. It applies to property and equipment purchased or constructed with government contract funds only if title has been transferred to Abu Dhabi Polytechnic.

Institute property shall not be given away, destroyed or otherwise disposed of without the permission of the Purchasing Section. Refer to the "Surplus Property" section of this manual for a complete description of this process.

### 7.24.1 Inventory Records

Each school or campus must maintain official inventory records for all non-expendable, movable property and equipment which has a single item cost of [an upper limit to be determined] or more, or is a gift with equal value, and:

- has an expected useful life of one (1) year or more; and

- is self-contained for its primary function (not a component part of any other piece of equipment); and

- has sufficient individuality and size to make control feasible by means of identification tags, numbers and/or manufacturer's serial numbers marked thereon.

- schools or campuses may choose to maintain inventory records for additional items.

### 7.24.2    Responsibilities

**Campus Inventory Section**

The school or campus Procurement Officer is responsible for:

- Establishing and maintaining the records and procedures necessary for the accountability of Abu Dhabi Polytechnic property and equipment inventory.
- Providing a list of all inventoried items to each Director or department head on an annual basis, and providing a similar list to the Abu Dhabi Polytechnic Purchasing Section on June 30 of each year.
- Determining the items to be inventoried and the numbers assigned.
- Affixing the inventory decal or tag to the property or equipment.
- Equipment, which has been acquired through government grants or sponsorship, shall have a unique designator as part of its inventory record to indicate its source.

**Directors and Department Heads**

Each department chairperson or administrative head is responsible for:

- All property and equipment purchased or constructed for and assigned to the department.
- Reporting any transfers or loss of inventoried property to the Purchasing Section.
- Establishing appropriate controls for all products purchased with Institute funds, and maintaining records and controls for sensitive equipment such as guns, cameras, stop watches, pocket calculators, etc. which are not inventoried under provisions of this policy.
- Notifying the Purchasing Section of equipment that has been obtained from donations or sponsorship. Items received shall be entered on the records at fair market value.
- Verifying inventory records provided by the Purchasing Section annually. Specifically each Director or department head assigned an inventory account must:
  - Check the accuracy of the inventory account list.
  - Certify that the equipment listed is on hand, usable, useful and needed.
  - Return the corrected inventory lists by the prescribed deadline.

Institute property shall not be given away, destroyed or otherwise disposed of without the permission of the manager of the Purchasing Section or Director Support Services. Refer to the "Surplus Property" section of this manual for a complete description of this process.

### 7.25    Purchasing and Procurement Code of Ethics

The **National Association of Educational Buyers (NAEB), Inc.** is the professional association serving colleges and universities nationwide. NAEB was organized in 1921 to provide a forum where campus purchasing professionals might share valuable information. We are the professional association dedicated to serving higher education by providing those with purchasing responsibility with the specialized information they must have. Our mission is to

advocate the development, exchange and practice of effective and ethical procurement principles and techniques within the higher education and associated communities, through continuing education and networking.

## Code of Ethics

Purchasing professionals must have a highly developed sense of professional ethics to protect their own and their institution's reputation for fair dealing. To strengthen ethical awareness, and to provide guidelines for its members, NAEB has long promoted the following code of ethics.

1. Give first consideration to the objectives and policies of my institution.

2. Strive to obtain the maximum value for each dirham of expenditure.

3. Decline personal gifts or gratuities.

4. Grant all competitive suppliers equal consideration insofar as state or federal statute and institutional policy permit.

5. Conduct business with potential and current suppliers in an atmosphere of good faith, devoid of intentional misrepresentation.

6. Demand honesty in sales representation whether offered through the medium of a verbal or written statement, an advertisement, or product sample.

7. Receive consent of originator of proprietary ideas and designs before using them for competitive purchasing purposes.

8. Make every reasonable effort to negotiate an equitable and mutually agreeable settlement of any controversy with a supplier; and/or be willing to submit any major controversies to arbitration or other third party review, insofar as the established policies of my institution permit.

9. Accord a prompt and courteous reception insofar as conditions permit to all who call on legitimate business missions.

10. Cooperate with trade, industrial and professional associations, and with governmental and private agencies for the purposes of promoting and developing sound business methods.

11. Foster fair, ethical and legal trade practices.

12. Counsel and cooperate with NAEB members and promote a spirit of unity and a keen interest in professional growth among them.

Members are also encouraged to participate in continuing open discussions of ethical principles with their colleagues and with others.

Copies of the NAEB Code of Ethics, which are suitable for framing, are available from the National Office.

# SECTION 8 - IAT e-POLICY AND PROCEDURES

## 8.1 Policy

The purpose of the Abu Dhabi Polytechnic e-Policy is to ensure the effective protection and proper usage of the computer systems within Abu Dhabi Polytechnic. The Information Technology (IT) investment of Abu Dhabi Polytechnic is considerable, and the dependency on computer technology in the delivery of Abu Dhabi Polytechnic services is high. The IT Policy will assist in maintaining systems at operational level. Contraventions of the IT Policy could seriously disrupt the operation of Abu Dhabi Polytechnic and any breaches will be treated seriously.

Managers are responsible for ensuring adherence to the e-Policy within their Departments, overseen by the relevant member of the Directorate.

## 8.2 Computer Systems Procedure

### 8.2.1 Network:

Network management, administration and maintenance within Abu Dhabi Polytechnic are the responsibilities of the IT Department. Access to and usage of the Servers is restricted to authorized IT staff only.

### 8.2.2 Hardware (PCs, Laptops, Blackberries, Printers, Modems, etc.):

The requirement for IT equipment will normally be identified within the context of an IT strategy for Abu Dhabi Polytechnic and more specifically within a planned programme of PC replacement.

The installation, configuration and maintenance of computer equipment are the responsibilities of the IT Department.

Computer equipment registers will be maintained by the IT Department to ensure full tracking of equipment. Eventually the inventory will be kept in ERP for future tracking.

The Senior IT Manager will liaise with Senior Operations Manager to ensure adequate insurance cover for all computer equipment. The IT Department will ensure all the staff aware of any restrictions and limitations.

Requirements for new hardware should be discussed in advance with the Senior IT Manager to assess the detailed specification.

The deployment of new equipment or re-deployment of existing equipment is undertaken by the IT Department after consultation with Department Managers/Heads.

The relocation of hardware within or out of the Abu Dhabi Polytechnic premises should be discussed with the Senior IT Manager in advance to ensure valid reason for relocation, determine the most appropriate means of relocation and to ensure computer equipment registers and insurance policies are updated.

The security and safekeeping of portable and other equipment used outside the Abu Dhabi Polytechnic offices is the responsibility of the staff member using it.

All members of staff are responsible for the proper usage, care and cleanliness of the computer equipment they use. Managers should ensure that staff maintains the cleanliness of their machines.

Problems with hardware should be reported to the HelpDesk of IT Department in accordance with established IT Help Desk procedures.

Cost of fixing any damaged HW will be covered by the HW warranty or IAT, unless the damage is found to be by a misuse from the user "Student/Staff". In this case the cost will be deducted from the user financial allocations.


### 8.2.3    Software & Software Applications:

The requirement for IT equipment will normally be identified within the context of an IT strategy for Abu Dhabi Polytechnic and more specifically within a planned software upgrade programme.

The installation, configuration and support of all software and software applications used within Abu Dhabi Polytechnic are the responsibility of the IT Department.

Software, including screensavers, must not be installed by users without prior authorization from the IT Department.  This includes programmes downloaded from the Internet.

Abu Dhabi Polytechnic will treat the installation of unlicensed software by users as a serious breach of the IT Policy.

Software license registers will be maintained by the IT Department/ to ensure compliance.

Software disks will be kept securely by the IT Department.

Requirements for new software/software applications should be discussed in advance with the Senior IT Manager to assess the detailed specification and implications.

Problems with software should be reported to the HelpDesk of IT Department.

Requests for modifications, enhancements and upgrades of existing software applications should be discussed with the IT Manager.


### Data/Electronic Information:

Data Management should be in accordance with the data management policies and procedures of Abu Dhabi Polytechnic.

Department Managers/Heads are responsible for maintaining the quality of the computer-held data processed by their staff.

The individual user is responsible for the quality of the computer data they have personally processed.

Department Managers/Heads are responsible for ensuring compliance with Data Protection with regards to data processed within their Departments.

In conjunction with the nominated Data Protection Officer of the organization, the IT Manager will keep abreast of data protection legislation, advice accordingly and ensure applications and databases are registered in accordance with the legislation and internal organizational data management policies.

All information/data held on the organization's systems is deemed the property of Abu Dhabi Polytechnic.

As a condition of employment, staff consent to the examination of the use and content of all data/information processed and/or stored by the staff member on the organization's systems as required.


### Back Up:

The IT Department is responsible for ensuring the implementation of an effective back-up strategy for server-held software and data.

Users of networked desktop PCs should avoid storing data on their local hard drives. Data so stored may be lost if a problem develops with the PC, and the IT Department may not be able to assist in its recovery. Data should be stored within the file directory (folder) structure used by the office.

Remote and laptop/notebook PC users must ensure they back up their data regularly. The IT Department will provide advice and assistance.

## Anti-Virus Protection:

The IT Department is responsible for the implementation of an effective virus security strategy. All machines, networked and standalone, will have up-to-date anti-virus protection.

The installation of anti-virus software on all machines is the responsibility of the IT Department.

The IT Department will ensure the upgrade of the anti-virus software on networked desktop PCs.

Remote users and users of portable machines will get assistance from IT in the upgrade of anti-virus software in accordance with specified mechanisms agreed with the IT Department, e.g. Internet updates.

Staff should virus-scan all media (including floppy disks, zip disks and CDs) before first use. The IT Department will provide assistance and training where required.

On detection of a virus staff should notify the HelpDesk of IT Department who will provide assistance.

Under no circumstances should staff attempt to disable or interfere with the virus scanning software.

## Telephone Usage Policy:

Desk telephones are provided to enable staff members to perform their duties and to conduct the business of Abu Dhabi Polytechnic. Where there is a direct business need, a mobile phone will be provided by Abu Dhabi Polytechnic, who will pay for network access and work related calls. The Director must approve any business requirement of a mobile phone.

Local calls made from desk landline phones are totally at the discretion of the staff member and it is the responsibility of each staff member to ensure calls are appropriate to their work and are conducted expeditiously.

National calls are provided to those who have permission from upper management with justification for their needs except the directorate staff.

While international calls access are provided to the Directors only, any other request for international access is subject to approval from the respective Director.

Telephone service is provided by IT Department, so user should fill in a request form for this service with full details.

IT Department has the privilege to Monitor and track calls of all users, in order to provide the upper management with a report for financial use.

IAT provides SIM cards and a Black Berry for the senior staff members due to the business nature as per HR policy.

### 8.2.4 Computer Users

**Health & Safety:**

Health and safety with regards to computer equipment and computer work stations should be managed within the context of the general and any specific health & safety policies and procedures within Abu Dhabi Polytechnic. The IT Department will provide advice.

Campus Management is responsible for ensuring health & safety legislation and procedures with regards to computer equipment are implemented within their Departments.

The IT Manager will keep abreast of IT-related legislation and advise accordingly.

**Training:**

It is the responsibility of Campus Management to ensure appropriate computer training for their staff. The IT Department can advise on computer-related training.

**User Accounts:**

Campus Management should notify the IT Department of new members of staff in advance to allow the creation of network and e-mail accounts and system permissions.

Human Resources should notify the IT Department of the departure of staff to allow the deletion of network and e-mail accounts.

**Passwords:**

The IT Department will ensure password is part of the security strategy of the Abu Dhabi Polytechnic IT system.

Users should change their passwords when prompted by the system in the case of networked machines or on a regular basis for standalone machines.

All Staff are responsible for the security of their password which they should not divulge, even to colleagues.

Problems with passwords should be reported to the HelpDesk of IT Department.

**System Usage:**

Users should ensure their computers are fully shut down and turned off at end of business day.

Computers should be locked or shut down when left unattended for any significant period of time.

With regards to file management, Campus Management and/or departments will determine the top-level folders/directories and associated permissions for their department and inform the HelpDesk of IT Department. The IT Department will create or modify the folders accordingly.

Within their respective top-level folders, staff should create sub-folders in accordance with their own departmental guidelines but cannot create new top-level folders.

## 8.2.5    E-mail/Internet

**E-Mail:**

The Abu Dhabi Polytechnic e-mail system is a core business application. It should not be used for political, business or commercial purposes not related to Abu Dhabi Polytechnic.

The Abu Dhabi Polytechnic IAT e-mail system must not be used to send illegal or inappropriate material.

Limited personal use of E-mail is permitted.  Management should ensure there is no abuse of this privilege.

It is a condition of employment that all staff consent to the examination of the use and content of their E-mail accounts as required.

Global distribution lists should be used appropriately.  E-mail to all staff (spamming) should be used only when appropriate.

**E-mail copies to administrators in levels higher than your direct line-manager are not acceptable.** Staff should ensure that they only copy their direct line-manager and other team members (if any).

Staff should minimize the number of messages in their E-mail in-box to ensure maximum efficiency of the delivery system. Folders should be set up and messages filed accordingly.

Staff should utilize the archiving facility within the E-mail system in accordance with current guidelines.

Confidential material sent by e-mail should be so marked but sent only with caution.

Abu Dhabi Polytechnic retains the right to access and view all E-mail sent and received by the E-mail system.  This right is exercised solely through the IT Department on the instructions of the Director General.

Students will have mail quota of 200 MB, Staff will have mail quota of 400 MB with exceptions based on official assignments.

**E-mail Groups:**

Establishing a LISTSERV List:

- List content must reasonably reflect the responsibilities, field of expertise, research, or study of the list sponsor as it relates to their function at Abu Dhabi Polytechnic.

- List sponsors and owners are expected to abide by all computing resource usage policies put forth by Abu Dhabi Polytechnic.

- E-mail groups should be created based on business use only. Each member has the right to create his own group if the number of contact from 1-20. If the required group contains large number of contacts more than 20, the request should go to IT department in order to create a distribution list

List Sponsorship/Ownership:

- Only permanent faculty/staff of Abu Dhabi Polytechnic may sponsor a list.

- List owners are responsible for adequately communicating to the list membership (usually in the form of a charter/welcome message sent to all

new subscribers) the guidelines for list posting. Owners should also ensure that their subscribers are aware of certain important list configuration settings (e.g., who can post, who can subscribe, etc.).

- List owners are responsible for ensuring appropriate membership, as related to Abu Dhabi Polytechnic functions.

- List owners are responsible for updating the subscriber list and removing or suspending invalid or problematic addresses.

- Institutional lists (i.e. announcements, news) will be maintained by the Information Technology Services LISTSERV manager (IT HelpDesk).

List Content and Copyright:

- List subscribers, owners, and all others with list posting privileges and are expected to observe all applicable copyright restrictions when posting any material that is not their own. The use of a mailing list to distribute any material (including binary files) in violation of copyright or licensing is strictly prohibited.

List Expiration and Renewal:

- All lists, except for class lists, expire on a yearly basis at the end of each spring semester (the week after the end of final exams). Class lists expire at the end of each semester (the week after the end of final exams). Lists that are less than three (3) months old at the time of expiration will not expire until the end of following semester or academic year, whichever applies.

- All list owners will be notified by e-mail at least four weeks prior to the expiration date. In order to renew a list, the list owner must reply to the notification stating his/her intent to renew the list.

- If after two expiration notices the list owner has not declared intent to renew, the list will be deleted.

List Removal and Deletion:

- A list may be deleted at any time by the LISTSERV manager at the request of the list sponsor.

- Information Technology Services reserves the right to delete lists that:

  (1)  are misused;

  (2)  do not comply with established policy;

  (3)  pose a threat to system security or integrity. In such cases, the LISTSERV manager will attempt to notify the list sponsor and/or primary owner prior to the deletion of the list.

## Internet:

Access to the Internet is provided for business purposes. Limited personal use is permitted and is to be restricted to lunch breaks and periods out with working time.

Staff should not make inappropriate use of their access to the Internet. They must not use Abu Dhabi Polytechnic systems to access pornographic, illegal or other improper material.

Staff should not subscribe to chat rooms, dating agencies, messaging services or other on-line subscription Internet sites unless they pertain to work duties.

Programmes, including screensavers, must not be downloaded from the Internet without authorization from the IT Department.

Abu Dhabi Polytechnic retains the right to monitor Internet usage by staff. This right is exercised solely through the IT Department and, where relating to a specific member of staff, only on instructions from a member of Directorate.

It is a condition of employment that all staff consents to the examination of the use and content of their Internet activity as required.

Abuse of Internet access will be dealt with severely relative to seriousness.

Minor abuse will lead to removal of the privilege of access from an individual's workstation.

### 8.2.6    Contravention of the IT Policy

Staff should be aware of their responsibilities under the Data Protection Act, Computer Misuse Act (that Computer Users shall not, by any willful or deliberate act, jeopardize the integrity of the computing equipment, its systems programmes or any other stored information to which they have access) and the Copyright Design and Patents Act. The IT Department will provide guidance where required.

Contravention of the Abu Dhabi Polytechnic IT Policy or any act of deliberate sabotage to Abu Dhabi Polytechnic IAT computer systems may be considered a disciplinary offence.

**Consequences of non-compliance:**

If there is reason to suspect that laws or Abu Dhabi Polytechnic policies have been, or are being violated, or that continued access poses a threat to a facility, other account holders, normal operations, or the reputation of Abu Dhabi Polytechnic, access privileges of any individual may be withdrawn or restricted.

Following due process Abu Dhabi Polytechnic may take one or more of the following actions against anyone whose activities are in violation of the law or of this policy:

- Restrictions or loss of access to any or all of the computing facilities and services at Abu Dhabi Polytechnic.

- Legal action that could result in criminal or civil proceedings.

- In the case of students, disciplinary action under the Council regulations for Student Academic Dishonesty and/or Non-Academic Student Discipline and Appeals.

- In the case of employees, disciplinary action up to and including termination.

# SECTION 9 - INSTITUTIONAL EFFECTIVENESS

## 9.1　　　Policy

The Abu Dhabi Polytechnic focuses on Institutional Effectiveness (IE) reflects our intent to ensure that both the institution and all our employees are engaged in a continuous quest for quality and performance improvement and can demonstrate how effectively they fulfill the Abu Dhabi Polytechnic's mission and purpose.

The core aims of our IE initiatives and systems are:

- Promoting / Supporting Student Learning and Achievement
- Maintaining an Evidence-Based Culture within the Abu Dhabi Polytechnic
- Improving Organizational Performance Levels
- Recognizing and Rewarding Teaching and Learning Excellence in the Abu Dhabi Polytechnic

The Abu Dhabi Polytechnic views Institutional Effectiveness as a way to answer the question:


## HOW DO WE KNOW WE ARE GOING TO ACHIEVE OUR GOALS?

In developing the Institutional Effectiveness Framework and Performance Improvement Programmes, we have drawn extensively on a range of **external standards** and expertise:


- Cutting-edge Teaching and Learning principles such as the 'Learning Paradigm' and 'Learning College'
- Learning-Centered Assessment and Evaluation Tools such as the National Survey of Student Engagement and '*Vision-Profile-Plan-Results*' Framework of NSSE
- Core Values and Concepts underpinning the Baldrige Criteria for Performance Excellence
- The latest research on Student Engagement and Success such as Project DEEP and the innovative Inventory for Student Engagement and Success (ISES).


The Abu Dhabi Polytechnic operates on MOHESR and international standards. The stringent regulations laid down by the MOHESR during the course of their audit processes are followed and provide various procedures which are embedded in the Abu Dhabi Polytechnic.

In order to achieve such high standards of technical training, it is pertinent to have a meticulous quality system in place. The Abu Dhabi Polytechnic has an acceptable means of delivering such technical training.

Our review of these external standards has facilitated the development of a range of focus questions that form the basis of our QA / IE activities and Performance Improvement initiatives.  In addition, all IE and performance improvement systems and procedures at the Abu Dhabi Polytechnic are aligned with our own PLAN – DO – REVIEW – IMPROVE framework.

The P-D-R-I Framework ensures that our IE initiatives remain goal-orientated, grounded in action, is evidence-based and data-driven and also informs our continuous system-wide improvement efforts and strategic planning activities.

## 9.2    Measuring Effectiveness across the Abu Dhabi Polytechnic

The Abu Dhabi Polytechnic has developed Key Criteria to measure levels of effectiveness across the organization. The Key Criteria (KCs) are designed to help the Abu Dhabi Polytechnic units and organizational levels use a systems-based approach to institutional effectiveness and performance improvement in 6 important areas:

- **KC1** - Setting directions, defining the roles of staff in response to the needs of students and communicating plans with stakeholders.

- **KC2** - Aligning programme design and learning outcomes with teaching, learning and assessment strategies and international benchmarks.

- **KC3** - Securing student and stakeholder satisfaction with teaching, learning and assessment strategies.

- **KC4** - Evaluating and acting on student performance data to create wider options for learning and realize improvement in student success levels.

- **KC5** - Deploying resources effectively while inviting change and creating solutions.

- **KC6** - Providing specialist services to learners while managing budgets effectively.

In addition to the Abu Dhabi Polytechnic's adoption of the P-D-R-I Framework noted earlier, we have developed an IE Reporting Framework that our continuous improvement initiatives use as main input in our wider planning processes.

This framework (set of 'focus' questions) is:
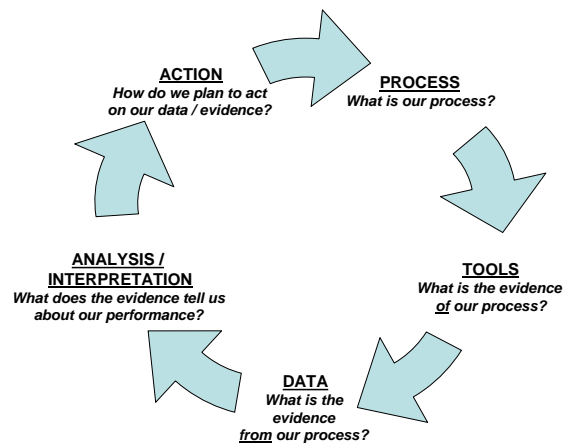


Figure 2: IE Reporting Framework and Focus Questions

The Abu Dhabi Polytechnic has developed a wide range of processes, instruments and protocols that allow it to both monitor performance and ensure that data is interpreted and analyzed to contribute to wider performance improvement initiatives in the areas of Staff Effectiveness and Systems Effectiveness.

## 9.3    Staff Effectiveness and Performance Improvement Programmes

The Abu Dhabi Polytechnic believes that the concept of IE is essential for the Abu Dhabi Polytechnic's Performance Improvement Programmes and enables the center to:

- align the Abu Dhabi Polytechnic's Mission and the principles of the Learning College with our day-to-day operations;
- manage and monitor our standards;
- agree and clarify expectations and planning processes;
- delegate appropriate authority and responsibility to meet our core purpose – the promotion of student learning and achievement.

In addition, the Abu Dhabi Polytechnic believes the most highly motivated, productive and effective Abu Dhabi Polytechnic employees are those who;

- know what they are supposed to do and how well they are doing;
- participate in planning how their work will be accomplished;
- actively pursue ways to continuously improve their divisions and support the mission of the organization;
- have a professional, open and honest relationship with their line managers/ supervisors and peers.

The systems and procedures used as part of the Performance Improvement Programme at the Abu Dhabi Polytechnic are based on the understanding that Abu Dhabi Polytechnic leaders also commit to applying of the P-D-R-I Framework to guide Staff Appraisal and Performance Improvement Programmes. This framework is familiar to school leaders, teachers, and educational administrators as it forms the basis of course development strategies that most educational institutions use on a daily basis.

The P-D-R-I framework ensures that the following processes form an integral part of all our Performance Improvement Strategies (see Fig. 3).

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**Plan**

- Reflect on own abilities through analysis of earlier successes, improvements and constructive feedback & investigate wider Abu Dhabi Polytechnic priorities and aims;
- Engage in goal-setting and related action planning activities for the academic year;
- Use results-orientated measures as means to evaluate future performance.

**Do**

- Take specific actions to realize the goals / targets established for the academic year;
- Monitor implementation of goals and action designed to realize these;
- Record on-going progress, successes and challenges.

**Review**

- Engage in meaningful reflection and self-evaluation;
- Use feedback from school and departmental stakeholders;
- Analyze and interpret available performance data / evidence;
- Have strategies and tools for accountability for performance and compliance with the defined goals.

**Improve**

- Celebrate achievements and actively plan for continuous improvement in the subsequent school year;
- Develop and share best practices within and between departments;
- Plan and support wider implementation of recorded improvements enabled by communication protocol.

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### Figure 3:  Key Components of the P-D-R-I Framework

The Abu Dhabi Polytechnic will apply this framework to develop Performance Improvement Strategies for all its employee groupings. The following chart (Fig. 4) illustrates how this is utilized using the Abu Dhabi Polytechnic reporting framework noted earlier.

**Figure 4: Staff Performance Appraisal / Improvement Strategies at the Abu Dhabi Polytechnic.**

| | PROCESS<br><br>*What is our process?* | TOOLS<br><br>*What is the evidence of our process?* | DATA<br><br>*What is the evidence from our process?* | ANALYSIS / INTERPRETATION<br><br>*What does the evidence tell us about our performance?* | ACTION<br><br>*How do we plan to act on our data / evidence?* |
|---|---|---|---|---|---|
| **Senior Management level** | • IE Policy / Belief Statement<br>• Key Criteria (KCs)<br>• P–D–R–I framework<br>• SE & PI Programme<br>• IE Focus Questions (Planning Framework) | • Abu Dhabi Polytechnic Effectiveness Guides or manuals<br>• Abu Dhabi Polytechnic Improvement Plans<br>• Abu Dhabi Polytechnic Climate Survey<br>• Student Engagement Survey<br>• '360 Review' & Feedback<br>• Staff Satisfaction Survey<br>• Student Achievement Data<br>• Community & Stakeholder Satisfaction Survey<br>• Focus Groups<br>• Teacher / Staff Satisfaction Survey<br>• Curriculum and Assessment Audit<br>• Finance and Operations Audit | • Goal-Setting and PI Planning<br>• Reflection and Self-Evaluation (individual)<br>• Development of Abu Dhabi Polytechnic IE Portfolios<br>• Self-Evaluation & IE Processes<br>• Mid-Year PI Review (with Chief Academic Officer and Abu Dhabi Polytechnic Director)<br>• End-of-Year PI Review (with Director & BoT)<br>• Survey Data<br>• Student Preference Data | • Probationary Decisions<br>• Contract Renewal<br>• PI Data – IE Focus Questions | • Abu Dhabi Polytechnic-based T & L Planning<br>• Strategic PD Plans<br>• Abu Dhabi Polytechnic Improvement Plans |
| **Teachers / Faculty** | • IE Policy / Belief Statement<br>• Key Criteria (KCs)<br>• P–D–R–I framework<br>• TE & PI Programme | • Teacher / Faculty Effectiveness Handbooks<br>• School Climate Survey<br>• Classroom Observation System<br>• Student Engagement Survey<br>• Staff Satisfaction Survey<br>• Student Achievement Data | • Goal-Setting and PI Planning<br>• Observation on the Job<br>• Reflection and Self-Evaluation<br>• Development of Professional Portfolios (where appropriate)<br>• '360 Review' & Feedback<br>• Mid-Year PI Review (with direct Line Manager)<br>• End-of-Year PI Review (with direct Line Manager)<br>• Survey Data<br>• Student Perf Data | • Probationary Decisions<br>• Contract Renewal<br>• PI Data – IE Focus Questions | • T & L Planning<br>• Strategic PD Plans<br>• Division Improvement Plans<br>• Recruitment Planning |
| **Programme Leaders and Course** | • IE Policy / Belief Statement<br>• Key Criteria (KCs)<br>• P–D–R–I framework | • Programme Effectiveness Measures<br>• School Climate Survey<br>• Student Engagement Survey | • Goal-Setting and PI Planning<br>• Observation on the Job<br>• Reflection and Self-Evaluation (individual) | • Probationary Decisions<br>• Contract Renewal<br>• PI Data – IE Focus Questions | • T & L Planning<br>• PD Plans |

| | PROCESS<br><br>*What is our process?* | TOOLS<br><br>*What is the evidence of our process?* | DATA<br><br>*What is the evidence from our process?* | ANALYSIS / INTERPRETATION<br><br>*What does the evidence tell us about our performance?* | ACTION<br><br>*How do we plan to act on our data / evidence?* |
|---|---|---|---|---|---|
| **Coordinators** | • SE & PI Programme<br>• IE Focus Questions (Planning Framework)<br>• Learning Cycle Evaluation & SWOT Analysis | • '360 Review' & Feedback<br>• Staff Satisfaction Survey<br>• Student Achievement Data<br>• Teacher / Staff Satisfaction Survey<br>• Curriculum and Assessment Audit (College-based)<br>• Course Success Data | • Division Leadership IE Portfolios/Evidence<br>• Self-Evaluation & IE Processes<br>• Mid-Year PI Review (with Dir. Line Manager)<br>• End-of-Year PI Review (with Dir. Line Manager)<br>• Survey Data<br>• Student Perf Data | | |
| **Administrative Staff** | As above | • Annual survey<br>• Peer evaluation<br>• Staff satisfaction survey<br>• Key deliverables against performance reports | As above | As above | • Internal audit |
| **Executive/Dir Level** | As above and:<br>• IAT Policy and Procedures<br>• Strategic plans<br>• Key Deliverables and PIs<br>• QA System<br>• Internal and external audit | • Regular performance evaluation of all divisions;<br>• Reports;<br>• Monitoring of performance at all levels;<br>• Needs analyses;<br>• Outcomes assessment | • Performance appraisal results<br>• Portfolios and reports on performance<br>• Audit results<br>• Needs analyses results<br>• Survey results<br>• Grievance records<br>• Staff and students satisfaction results<br>• Parent satisfaction evidence<br>• Stakeholders' feedback outcomes<br>• Feedback from BOT | • Probationary decisions<br>• Contract renewals or allocation of positions<br>• Review of scope of responsibilities | • Strategic Plans<br>• Departmental Plans |
| **Consultants** | As above | • Consultant performance review<br>• Consultant service/product result assessment | • Outcomes assessment<br>• Evaluation of consultant input | • Review contract extension | • Plan for requirement for consultant work against Key Deliverables and Strategic Plans |

## 9.4 System Effectiveness and Performance Improvement Strategies

The Abu Dhabi Polytechnic has developed a wide range of processes, instruments and protocols that allow it to both monitor performance and ensure that data are interpreted and analyzed to contribute to wider performance improvement initiatives in the area of Systems Effectiveness.

**Academic**
- Academic Advising Processes
- Achievement of Student Learning Outcomes
- Alignment of Learning and Assessment Strategies
- Assessment of Student Achievement
- Assessment Tools – valid, reliable, fair and flexible
- Curriculum Framework (inc. Instructional Content and Programme Objectives)
- Faculty Training – Assessment Processes (PD)
- Instructional Practices and Delivery
- Programme Development, Approval and Renewal
- Record-Keeping
- Student Achievement and Performance (Learning Results)
- Student Engagement and Retention
- Validation of Assessment Strategies

**Admin Support Services (incl HR & Recruitment)**
- Learning-Centered Decision-Making

**Facilities**
- Health and Safety
- Instructional Support
- Maintenance and Upkeep (Preventative, Upgrade Schedules)

**Finance**
- Auditing Processes (Internal / External)
- Certification of Accounts
- Refund Processes

**Information Technology Resources**
- E-Policy
- Review of effectiveness of operation

**Library and other Learning Resource Services**
- Maintenance and upkeep
- Review of efficient use

**Professional Development**
- Faculty and Teaching and Non-Teaching Staff
- Levels of Staff Learning

**School Leadership**
- Assessment of Abu Dhabi Polytechnic performance
- Assessment of student outcomes
- Assessment of curriculum and assessment
- Advisory Committees
- Feedback from community

**Stakeholder Involvement**
- Advisory Panels
- Faculty / Staff and Student Satisfaction

**Student Development Services**
- Assessment of service effectiveness and staff performance
- Analysis of grievance record

**Teaching & Instruction**
- Aligned with Academic effectiveness and improvement programme

## 9.5    IE 'Fundamental Planning' at the Abu Dhabi Polytechnic

| | |
|---|---|
| **Builds a Framework for a Learning-Centered Organizational Culture** | 1. What strategies are being used to achieve a common understanding and language of what it means to be learning centered and how the Learning College concept applies to the Abu Dhabi Polytechnic? How do you achieve this understanding and language across the entire system?<br>2. What creative processes are being used to build on existing cultural values, beliefs, assumptions, and customs to foster buy-in to the Learning College concept at the Abu Dhabi Polytechnic? What existing cultural elements have been identified as working against acceptance of the Learning College concept at the Abu Dhabi Polytechnic?<br>3. What strategies are being used at the Abu Dhabi Polytechnic to engender ownership among all stakeholders (administrators, teachers, staff, contractors, board members, students) for student learning and success?<br>4. In what ways is the Abu Dhabi Polytechnic asking and answering the two guiding questions of the Learning College: How does this action expand and improve student learning? How do we know?<br>5. What collaborative processes are being used to promote learning-centered principles at the Abu Dhabi Polytechnic?<br>6. How is the Abu Dhabi Polytechnic cultivating widespread awareness of the value of changing organizational structures to promote student learning? |
| **Places Learning First: Organizational and Cultural Change** | 7. What steps have been taken at the Abu Dhabi Polytechnic to embed Learning College principles in policies, practices, procedures, programmes, and daily operations?<br>8. What aspects of the routine business (processes, systems, policies, habits) of the Abu Dhabi Polytechnic have been identified as barriers to learning? How is the Abu Dhabi Polytechnic addressing these impediments?<br>9. How is the Abu Dhabi Polytechnic overcoming anxiety about or resistance to making organizational changes that have promise for improving student learning and success?<br>10. What methods are being used to link learning-centered programmes and practices across the Abu Dhabi Polytechnic to promote student learning and success?<br>11. How is the Abu Dhabi Polytechnic cultivating a culture of evidence to support learning (i.e., a culture that values assessment and continuous improvement to ensure that learning-centered principles guide all Abu Dhabi Polytechnic's activities)? |
| **Refocuses Funding on Learning-Centered Policies, Programmes, and Practices** | 12. What are the key strategies the Abu Dhabi Polytechnic has used to keep plans focused and to link resources to student and organizational learning?<br>13. What reward structures have been created at the Abu Dhabi Polytechnic to motivate teachers and staff to place learning first in their work?<br>14. What strategies are being used to secure alternative funding for strengthening the Abu Dhabi Polytechnic's focus on learning?<br>15. What successful mechanisms have been used at the Abu Dhabi Polytechnic to eliminate policies, programmes, practices, and positions that are low priority, off target, outdated, or inefficient?<br>16. What has the Abu Dhabi Polytechnic done to keep teachers and staff from expending energy in blaming external conditions, such as funding, as the reasons they cannot make changes to become more learning centered? What has the Abu Dhabi Polytechnic done to concentrate efforts on what can be changed within the institution? |

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| **Defines and Teaching Learning Outcomes** | 17. At what levels (course, programme, institution, other) have learning outcomes been identified and defined? <br> 18. In what ways are stakeholders involved in identifying and teaching learning outcomes, and which stakeholders are involved? <br> 19. In what ways do learning facilitators design learning activities that provide students with opportunities to achieve these outcomes, and what training do they receive? <br> 20. What strategies (e.g., outcomes-based curriculum design models, alignment of learning outcomes with institutional mission and values, outcomes-based professional development activities) have been used to embed outcomes-based learning and teaching? |
| **Assesses and Documents Learning Outcomes** | 21. What plans or processes are under way to build or adopt assessment methods capable of determining, with consistency across the institution, the level at which each student achieves each relevant course, programme, and institutional learning outcome? <br> 22. What plans or processes are under way to expand methods of documenting student learning beyond the traditional transcript (e.g., annotated transcripts, electronic portfolios)? <br> 23. In what ways is the Abu Dhabi Polytechnic addressing teacher, staff, and student resistance to and fear of assessment and documentation of student learning? <br> 24. What strategies have been effectively used to promote development of a culture of evidence? |
| **Creates Learning-Centered Programmes for Under-prepared Students** | 25. What structures, policies, and processes have proven to be most critical in promoting the success of under-prepared/at risk students or 'high-flyers'? <br> 26. What are the keys to creating information systems adequate to the need to track student progress and success? What performance indicators will help to know how effective its approaches actually are? <br> 27. What diagnostic tools are being used for effective assessment of student skills upon entry and appropriate placement in courses? <br> 28. In what ways is the Abu Dhabi Polytechnic effectively working with supply institutions to improve student preparation? |
| **Orientates and Engages Students in Learning-Centered Education** | 29. What student behaviors are most critically related to learning success? How does the Abu Dhabi Polytechnic promote and support these behaviors? <br> 30. What key institutional practices at the Abu Dhabi Polytechnic have been found to be linked to student retention and positive learning outcomes? <br> 31. What are the Abu Dhabi Polytechnic's best practices in student orientation and first-year experience? <br> 32. How can the Abu Dhabi Polytechnic effectively assess, benchmark, monitor, and improve student engagement in learning? |

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| **Uses Technology to Improve and Expand Learning for Students** | 33. What are the Abu Dhabi Polytechnic's plans to ensure that all students have access to the technology tools and training necessary to have a basic level of technology literacy? <br> 34. How is the Abu Dhabi Polytechnic building programmes that encourage students to develop the capacity to learn in multiple formats (e.g., traditional, technology enabled, mixed model)? <br> 35. How is the Abu Dhabi Polytechnic using technology tools to promote learning communities and collaboration? <br> 36. How do you ensure that the Abu Dhabi Polytechnic's technology budget is being spent on tools and techniques that will impact student learning in the broadest and most effective ways? |
| **Uses Technology to Enhance Learning for Faculty and** | 37. How does the Abu Dhabi Polytechnic support teachers and staff to make best use of technology? <br> 38. How does the Abu Dhabi Polytechnic decide which technology tools and training will best promote learning at the institution? |

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| **Staff and to Improve Abu Dhabi Polytechnic Operations** | 39. How is the Abu Dhabi Polytechnic developing a comprehensive technology strategy to create a more learning-centered technology infrastructure?<br>40. What creative approaches are being used to ensure a return on investment for the Abu Dhabi Polytechnic's technology expenditures?<br>41. How is the Abu Dhabi Polytechnic blending all elements of its technology infrastructure (e.g., Web system, phone system, in-person/on-campus services, learning tools and strategies) to improve learning? |

| | |
|---|---|
| **Recruits and Selects Learning-Centered Faculty and Staff** | 42. What marketing plans does the Abu Dhabi Polytechnic use to attract teachers and staff who are committed to and knowledgeable of learning-centered education?<br>43. What criteria are used to select teachers and staff to ensure that they are learning centered? What criteria, beyond teaching competence and knowledge of subject matter, should the Abu Dhabi Polytechnic establish for Faculty and Staff?<br>44. What processes and procedures for staff selection have been implemented to ensure that new staff will meet the learning-centered criteria?<br>45. What policies and procedures guide the appointment of selection committees, and how are these committees trained to ensure that they select learning-centered faculty and staff?<br>46. What steps have been taken to ensure that the selection of classified staff, part-time Faculty, administrators, counselors, and other staff meet the same standards and rigor focused on learning as that established for full-time Faculty? |
| **Develops, Evaluates, and Rewards Learning-Centered Faculty and Staff** | 47. What best practices have been created to orient new staff in different employee groupings?<br>48. How does the Abu Dhabi Polytechnic assess the skills and knowledge of current Faculty and staff and create a programme with goals, individual learning plans, learning options, learning portfolios, technical support?<br>49. How have faculty and staff evaluation programmes been designed to reflect learning-centered values and to measure the contribution of the individual being evaluated to improving and expanding learning?<br>50. What best practices have been implemented to reward and recognize staff who have made significant contributions to expand and improve learning? What learning-centered criteria on which to base reward and recognition have been established? |

# SECTION 10 - FRAMEWORK FOR QUALITY ASSURANCE

This policy outlines the general framework for the Abu Dhabi Polytechnic's planning and quality assurance system.

## 10.1    Quality Assurance System

The Abu Dhabi Polytechnic's Planning and Quality Assurance System is based on the Plan-Do-Review-Improve (PDRI) model of quality assurance and improvement, and consists of the following linked elements:

- a planning framework
- a planning and review cycle
- a budget model that supports implementation of the strategic priorities
- Faculty and Administrative reviews
- professional accreditation
- planning, evaluation and review of programmes, courses and teaching
- stakeholder feedback
- annual performance reviews of senior managers
- annual performance reviews of academic staff

## 10.2    Planning Framework

The Abu Dhabi Polytechnic's planning framework consists of a series of linked plans and policies that guide the implementation of the Abu Dhabi Polytechnic's strategic priorities. This framework consists of:

(a)    the Abu Dhabi Polytechnic's Strategic Plan that sets targets benchmarked against national and international standards; and

(b)    a cascading model in which the Strategic Plan and Organizational Targets are used to drive the operational plans and key performance indicators within Abu Dhabi Polytechnic -wide portfolios of learning and teaching, and those of academic groups and administrative divisions.

Plans are agreed and implemented through each faculty and support division. Progress towards targets is reviewed through the Abu Dhabi Polytechnic's annual planning and review cycle.

## 10.3    Planning and Review Process

The Abu Dhabi Polytechnic has implemented a strategic and operational planning and review process for the review and accomplishment of faculty and support department plans consisting of an evidence-based, strategic review of performance against key performance indicators, the identification of desirable improvements, integrated operational planning, budgeting, and implementation of strategic actions. Strategic plans operate on a five-year cycle, whereas operational plans operate on a one-year cycle. All operational plans clearly specify actions, responsibilities and budget provisions.

The Planning Process occurs in line with a published planning and budgeting timetable as follows:

- *Review* (continuous) — the annual planning process is continuous and commences with an annual strategic review of performance against the Abu Dhabi Polytechnic's key performance indicators (KPIs) by the Abu Dhabi Polytechnic Director. Additional scheduled faculty and departmental level meetings are scheduled to review operational issues, student performance, programme effectiveness and opportunities for improvement.

  The Abu Dhabi Polytechnic Director meets with each of the managers responsible for faculties and support departments, to consider areas in which there are gaps in programme performance relative to targets, with a view to planning and resourcing improvement actions.

- *Improvement* (continuous) — if necessary, each faculty and administrative support department updates its plan in the light of the review of performance gaps, to focus on areas where the need for improvement is greatest. Where improvement is identified the process of implementation will be monitored and recorded through the Abu Dhabi Polytechnic's Quality System.

- *Operational Planning and Implementation (June)* —This process discusses and implements the Abu Dhabi Polytechnic's strategic plan, including actions designed to achieve priorities for improvement, assign responsibilities for implementation to specified managers, provide key performance indicators against which to evaluate progress, and allocate budget resources in support of the Abu Dhabi Polytechnic's strategic and operational objectives. The Abu Dhabi Polytechnic's plans are developed in consultation with senior managers in each of the faculties and support departments.

## 10.4     Budget Model

The Abu Dhabi Polytechnic's budget model supports implementation of the declared strategic priorities by ensuring close alignment between resources and these priorities and identifying areas for strategic investment.

## 10.5     Faculty and Administrative Section Reviews

The Abu Dhabi Polytechnic's strategic and operational planning is supported by five-yearly reviews of academic sections and support service sections. These reviews involve self-assessment, engagement with stakeholders and external peer review. Reviews will be conducted at Abu Dhabi Polytechnic level.

Each review may lead to recommendations for improvement. The element being reviewed is required to complete an implementation plan for the recommendations and to report back to the Director, IAT Director General, and Board of Trustees (BOT) on progress towards implementation at 12- and 18-month intervals after the review is finalized. There is an expectation that all recommendations will be implemented by the 18-month progress report.

## 10.6     Professional Accreditation

Professional accreditation delivers external quality assurance for the Abu Dhabi Polytechnic's Programmes as it certifies that the Vocational Education Development Center graduate meets the requirements of the approved Programmes and professional standards. Input from national and

international authorities as well as from employers, industry and other stakeholders to Programme planning and review processes will help ensure the relevance of Abu Dhabi Polytechnic's curriculum and appropriateness of graduate competencies.

## 10.7 Planning, Evaluation and Review of Programmes, Courses and Teaching

The Abu Dhabi Polytechnic undertakes regular evaluation of programmes, courses and teaching by:

- *Programme planning* — The Abu Dhabi Polytechnic develops an annual programme plan as part of their operational plan, which specifies new programmes the Abu Dhabi Polytechnic wishes to introduce, together with timeframes for programme withdrawals, major changes and programme reviews. The programme plan is derived from the overall *Academic Plan*, the strategic priorities of the Abu Dhabi Polytechnic, annual programme-monitoring data, relevant recommendations from faculty reviews, professional accreditation processes, and customer/contract requirements. The programme aims to review and where necessary improve programme planning, strategic objectives and the quality of curriculum development within programme proposals.

- *Programme development and approval* — new programmes approved for development are progressed in accordance with the *Programme Approval* policy, which includes processes for ensuring that distinctive features of the Abu Dhabi Polytechnic programmes are embedded in programme and course curriculum.

- *Programme evaluation and review* — each Training Section Coordinator and Administrative Support Coordinator is required to present annual monitoring reports that assess each programme's and department's performance against a set of key performance indicators, to the Abu Dhabi Polytechnic Director.

- *Course and teaching evaluation* – The Abu Dhabi Polytechnic has developed a course evaluation model that requires formal evaluation of modules by the Curriculum Development & Assessment Unit after their first presentation and subsequently programme modules will be evaluated as required but not less than three modules annually. The Abu Dhabi Polytechnic also affords students the opportunity to complete a module / course evaluation document and this data is used as part of the overall module course improvement programmes. Teaching evaluation is facilitated through classroom observations. Each teacher will undergo a formal annual classroom assessment to evaluate teaching practices, student learning, lesson effectiveness and where necessary identification of areas for improvement or training.

## 10.8 Stakeholder Surveying

Regular internal surveys of students, staff and employers are conducted in order to measure satisfaction and to identify areas in need of improvement.

Managers and Section Coordinators, as well as support departments will carry out faculty/department-wide surveys. The results of these surveys will be reported to the Abu Dhabi Polytechnic Director with recommendations for improvement.

## 10.9    Annual Performance Reviews of Senior Managers

As part of the Abu Dhabi Polytechnic overall strategy, the Abu Dhabi Polytechnic Director is required to report annually to the Board of Trustees on progress towards implementing the previous year's operational plan for the Abu Dhabi Polytechnic. This information is used in the annual performance review, performance planning and remuneration outcomes.

## 10.10    Annual Performance Reviews of Academic Staff

The Abu Dhabi Polytechnic has a framework for the allocation of academic work, performance reviews and promotion of academic staff.

This framework ensures:

- Greater flexibility in academic work allocations, allowing staff to concentrate in areas of strength and of strategic value to the Abu Dhabi Polytechnic;

- Annual performance reviews against agreed performance objectives that reflect negotiated career paths, past performance and the strategic priorities of the Abu Dhabi Polytechnic.

# SECTION 11 - COMMITTEES

## 11.1     The Purpose of Committees

Abu Dhabi Polytechnic decisions and actions are supported by numerous standing and ad hoc committees, working groups, and subcommittees.  Committees are a basic need and a necessary aspect of organizations of any significant size.  They keep the number of participants manageable; with larger groups, either many people do not get to speak and feel left out, or discussions are quite lengthy and many participants find them duplicative and often boring.  It is common to have smaller committees with more specialized functions, for example, assessment committee, community activities committee, search committee, etc.

Committees are often formed to do research and make recommendations on a potential or planned project or change.  For example, if Abu Dhabi Polytechnic is considering a major equipment acquisition requiring a significant capital investment, a temporary ad hoc committee of several people may be created to review options and make recommendations to upper management.  Such committees are typically dissolved after issuing recommendations (often in the form of a final report).

Abu Dhabi Polytechnic has established near-term committees and plans to establish committees in the intermediate-term and long-term as their need arises.  The near-term committees are the committees which were immediately convened to advise and conduct Abu Dhabi Polytechnic affairs.  These are the Executive Committee, the Academic Affairs Committee, and the Quality Assurance Committee.  Intermediate-term committees are those committees that will be formed (for example, their charter and bylaws will be developed) by inaugural members once the need has been recognized and members elect to gather.  Examples of these groups are the Student Council, the Infrastructure Committee, and the Advisory Board of Directors.  In the further future there are committees envisioned to be established once Abu Dhabi Polytechnic has grown to a sufficient size and stature in the community, which will enhance the reputation and expand the influence or impact of Abu Dhabi Polytechnic, such as a Community Activities Committee, Outreach Committee, and Industrial Relations Committee.

### 11.1.1     Common Committee Procedures

All committees recognized by Abu Dhabi Polytechnic will have a charter which defines the authority of their establishment and bylaws which define their structure including member-ship, terms of services, meeting frequency, quorum, voting rules, and reporting procedures.

It is common for a chairperson (or simply "chair") to organize a committee.  This is done through an agenda which is usually distributed in advance.  The chair is responsible for running the meetings such as keeping the discussion on the appropriate subject, recognizing members (calling on them to speak), and calling for votes after a debate has taken place. The chair is responsible for deciding how formal the committee's processes will be (within the guidelines of their charter).

A record of the discussion and decisions of the meeting should be recorded by a person designated as the secretary of the committee. For committees that meet regularly, the minutes of the most recent meeting are often circulated to committee members before the next meeting, and are available to the membership.  Committees may meet on a regular basis, often weekly, monthly, or semesterly, or meetings may be called irregularly as the need arises.

## 11.1.2 Committee Hierarchy

Committees have different functions and authority. Table 11.1 lists the committees, their levels, and purview currently envisioned for the Abu Dhabi Polytechnic. The Executive Committee is the Level 1 committee and has the authority to approve and implement policies and procedures. Level 2 committees recommend major policies and activities to the Executive Committee and implement, as authorized, policies and activities. Level 3 committees are ad hoc committees that have special tasks. These committees can be permanent such as the Admissions Committee or temporary or "as needed" such as search committees. Level 3 committees tend to conduct research and provide recommendations to Level 1 or Level 2 committees. Level 4 committees are the purely advisory committees such as the Advisory Board of Directors or Student Council that tend to be self-governing but provide significant information up to the highest level of management. The committee structure is illustrated in Figure 5.

Table 11.1: Abu Dhabi Polytechnic Committees, Levels, and Purviews.

| Level 1 Committee | | |
|---|---|---|
| | Executive Committee | Provides strategic, business and academic leadership and oversees the overall activities of Abu Dhabi Polytechnic. |
| | Academic Programmes Advisory Committee | Consists of heads of departments and 4 members from outside (2 academic and 2 industrial).who provide counsel, professional networking, and community connections to promote and support the objectives of Abu Dhabi Polytechnic and its technical division interests to the Executive Committee. |
| Level 2 Committees | | |
| | Academic Affairs Committee | Responsible for implementing recruitment, admissions, and curricular policies of Abu Dhabi Polytechnic. It reviews all curricular proposals, including addition and deletion of courses, changes in course numbering, in credit hours, and in course descriptions. The committee reviews the establishment of new majors and all new degree Programmes. The committee also oversees the regularly scheduled reviews of academic Programmes. Campus-based |
| | Quality Assurance Committee | Monitors the academic performance of the Abu Dhabi Polytechnic against agreed targets or benchmarks. The committee is also responsible for investigating and preparing for eventual ABET accreditation and other associations impacting Abu Dhabi Polytechnic's quality and reputation. |
| | Infrastructure Committee | Reviews all proposals for changes in infrastructure that has been allocated to Abu Dhabi Polytechnic such as building modifications, large equipment acquisition, and utilization of office, lab, and storage space. The committee provides information and recommendations to the Executive Committee. |
| | Outreach and Recruitment Committee | Responsible to develop (and submit for approval) outreach and recruitment strategy including web-based marketing, social media, brochures, and other recruitment and outreach efforts. Implement outreach and recruitment activities as authorized. There are two campus based committees (Abu Dhabi and Al Ain) which are overseen by a main steering committee. |
| | Personnel Affairs Committee | Responsible to monitor and oversee all issues related to staff in terms of professional development, disciplinary, support, and enforcing HR policies and procedures. |
| | Student Affairs Committee | Responsible to monitor and oversee all issues related to students in terms of academic progress, disciplinary, admission, registration, and student activities. There are two campus based committees (Abu Dhabi and Al Ain) which are overseen by a main steering committee. |
| Level 3 Committees (examples only, non-exhaustive) | | |
| | Admissions Committee | Reviews applications and provides recommendations for admissions to the Abu Dhabi Polytechnic diploma Programmes to the Outreach and Recruitment |

| | | Committee. One committee per campus reporting to the Student Affairs Committee. |
|---|---|---|
| | Curriculum Committee | Review all issues related to curriculum and teaching. The Curriculum Committee reports its findings and recommendations to the Academic Affairs Committee |
| | Events Management Committee | Prepares the materials and equipment for events and manages registration from such events. There is one committee per campus who report to Outreach and Recruitment Committee |
| | Health & Safety Committee | Develops and promotes a healthy and safe environment for all students, employees, and visitors to Abu Dhabi Polytechnic facilities through the involvement of all individuals with regards to education, communication and safe work practices. The committee reviews all proposals for new work and provides recommendations to the Infrastructure Committee. |
| | Staffing Committee | Temporary ad hoc working committee that conducts advertisement, application reviews, applicant down-selection and interviews, and final recommendation for hire to the appropriate committees, division heads, and the Executive Committee. Reporting to the Personnel Affairs Committee. |
| | Student Disciplinary Committee | There are two Disciplinary Committees for Behaviour and Academic issues. Students sponsor may also be a member of the Committee. One committee per campus reporting to the Student Affairs Committee. |
| Level 4 Committees (examples only, non-exhaustive) | | |
| | Advisory Board of Directors | Consists of community leaders who provide counsel, professional networking, and community connections to promote and support the objectives of Abu Dhabi Polytechnic and its technical division interests to the Executive Committee. |
| | Student Council | An effectively self-governing committee of students that provides recommendations and insights from the student perspective to the Executive Committee and elsewhere as appropriate. |

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Academic Programme          Executive Committee
Advisory Committee          (D003)
                            Chair: ADP Director

                                     *Academic Affairs Committee
                                     (D004)
                                     Chair: Campus based, Student
                                     Services                        Curriculum Committee
Advisory Board of                                                    Chair: Campus based,
Directors                            Infrastructure Committee        Manager Student Services
                                     Chair: Senior Manager of
                                     Student & Support Services

                                                                     Health & Safety Committee
Student Council                                                      Chair:

                                     *Outreach Recruitment Steering
                                     Committee (D007)
                                     Chair: Senior Manager Support
                                     Services
                                                                     Events Management
                                                                     Committee (D005)
                                                                     Chair: Manager Student &
                                                                     Support Services

                                                                     Admissions Committee (D011)
                                                                     Chair: Campus based,
                                                                     Manager Student Services

                                     Personnel Affairs Committee
                                     (D008)
                                     Chair: Head of Campus: Al Ain
                                                                     Staffing Committee
                                                                     Chair:

                                     Quality Assurance Committee
                                     (D006) Chair: Head of
                                     Programme, AET

                                     *Student Affairs Committee (D009)
                                     Chair: Manager Student & Support
                                     Services, AD                     Student Disciplinary
                                                                      Committee (D010)
                                                                      Chair: Campus based,
                                                                      Manager Student Services
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**LEVEL 4**          **LEVEL 1**                **LEVEL 2**                **LEVEL 3**

\*Plus two campus based Committees chaired by Manager, Student Services

**Figure 5:  Flow Chart of Committee Structure.**

## 11.2    Executive Committee

### Purpose

The purpose of the Executive Committee is to provide strategic, business, and academic leadership and to oversee the overall activities of the Abu Dhabi Polytechnic.

### Accountability

The committee is chaired by the Abu Dhabi Polytechnic Director. The committee is the highest level (Level 1) body for all committees within the Abu Dhabi Polytechnic and reports to the IAT Directorate.

### Purview

1. Provide strategic direction for the Abu Dhabi Polytechnic that reflects the mission and vision.
   - Develop a five-year strategic plan addressing teaching and learning, research, community and administrative goals for the Abu Dhabi Polytechnic.
   - Annually review and update the five-year strategic plan.
   - Approve national priority and student recruitment strategies for the Abu Dhabi Polytechnic.
   - Ensure that qualified faculty members are recruited and approve appointment, promotion, and dismissal of faculty and administrative staff.

2. Provide a business plan for the Abu Dhabi Polytechnic that reflects the mission and vision of the Abu Dhabi Polytechnic.
   - Develop and maintain a three-year budget and staffing plan.
   - Approve annual divisional budgets
   - Approve divisional business proposals.
   - Ensure policy and procedures relevant to business management reflect the Abu Dhabi Polytechnic's mission and values.
   - Establish the Abu Dhabi Polytechnic as a magnet employer with staff development plans, performance evaluation and professional development strategies that optimize the quality of teaching, learning, and research.
   - Ensure policy and procedures relevant to human resources reflect the Abu Dhabi Polytechnic's mission and values whilst optimizing the achievement of the Abu Dhabi Polytechnic's goals.

3. Receive minutes from Level 2 and divisional management committees:
   - Review and approve the evaluation and recommendations of the Academic Affairs Committee and Quality Assurance Committee.
   - Approve recommendations regarding the introduction or deletion of courses.
   - Ensure that the Abu Dhabi Polytechnic has an appropriate academic appeals procedure and monitor the conduct and outcome of appeals.
   - Receive and review the report of the External Advisory Committee.

4. Approve a marketing plan that reflects the mission and vision of the Abu Dhabi Polytechnic:
   - Approve the annual marketing plan.
   - Approve marketing materials.

- Ensure policy and procedures relevant to marketing reflect the Abu Dhabi Polytechnic's mission and values.
5. Report on Abu Dhabi Polytechnic activities to the IAT Directorate
6. Review and recommend changes to the Abu Dhabi Polytechnic committees' purviews on an annual basis.

## Membership

Director, Abu Dhabi Polytechnic – Chair
Senior Manager, Student and Support Services – Vice Chair
Head of Campus, Al Ain
Heads of Programmes
Effectiveness and Assessment Manager
Stakeholder Representatives

## Meetings

Once per month or as needed.

## Quorum

A quorum will consist of 3 members of the committee including the Chair or Vice Chair.

## Reporting Procedure

Agenda and minutes shall be circulated to all members of the committee.

## 11.3    Executive Advisory Board

### Purpose:

The Abu Dhabi Polytechnic Executive Advisory Board provides an officially recognized forum for community, industry, and technology leaders to provide counsel, professional networking, and community connections to promote and support the objectives of Abu Dhabi Polytechnic and its technical division interests.

### Accountability:

The Executive Advisory Board is a self-governing advisory committee to Abu Dhabi Polytechnic and all evaluations and recommendations are submitted to the Executive Committee and other relevant committees.

### Terms of Reference:

- The Executive Advisory Board provides counsel to promote and support Abu Dhabi Polytechnic.
- The Executive Advisory Board provides independent evaluation of Abu Dhabi Polytechnic Programmes and recommendations to the Abu Dhabi Polytechnic Director and Director General.
- The Executive Advisory Board provides regularly scheduled opportunities for professional networking, brainstorming, and community relations to enhance Abu Dhabi Polytechnic interactions with external stakeholders.
- The Executive Advisory Board is anticipated to assist in the establishment of ad hoc advisory boards for various divisions and Programmes at Abu Dhabi Polytechnic.

### Membership:

Membership to the Advisory Board is by invitation of the Director of Abu Dhabi Polytechnic.

### Meetings:

To be determined by charter and bylaws.

### Quorum:

To be determined by charter and bylaws.

### Reporting Procedures:

To be determined by charter and bylaws.

## 11.4    Academic Affairs Committee

**Purpose:**

The Academic Affairs Committee is charged with the responsibility to review all issues related to curriculum and teaching.

**Accountability:**

The committee is a Level 2 standing committee of Abu Dhabi Polytechnic reporting directly to the Executive Committee.

**Terms of Reference:**

- Make recommendations regarding instructional resources needed to support the Programmes.
- Review performance of students.
- Rule on all cases of students whose academic performance is causing concern.
- Identify general staff developmental needs.
- Receive minutes of the Level 3 committees under its supervision such as the Curriculum Committee. With input from the Quality Assurance Committee, identify and address the learning and teaching related needs and concerns of students and teachers in the Abu Dhabi Polytechnic.
- Receive and review Unit and Course evaluations.
- Recommend to the Quality Assurance changes in academic policies and procedures.
- Recommend to the Executive Committee the introduction or cancellation of academic Programmes.
- Where appropriate, address issues raised in the report of external auditors.

**Membership:**

Campus based
Director– Chair
Heads of Programmes

Effectiveness and Assessment Manager

Faculty representatives

Ad-hoc members may be invited as necessary.

**Meetings:**

Once per term or as required.

**Quorum:**

A quorum will consist of 5 members including the Chair or a Programme Head and 2 members of the teaching staff.

**Reporting Procedures:**

The secretary of the committee will circulate the minutes to all members of the committee and the Chair of the Executive Committee.

### 11.5    Quality Assurance Committee

**Purpose:**

The Quality Assurance Committee monitors the academic performance of the Abu Dhabi Polytechnic against agreed targets or benchmarks. The committee is also responsible for investigating and preparing for eventual ABET accreditation and other associations impacting Abu Dhabi Polytechnic's quality and reputation.

**Accountability:**

The committee is a standing committee of the Abu Dhabi Polytechnic reporting to the Executive Committee.

**Terms of Reference:**

- to monitor the ABU DHABI POLYTECHNIC's quality assurance procedures, keep them under review and recommend further developments to the Executive Committee;
- to review the outcomes of internal audits and the action taken in response;
- to receive and consider a term based analysis of the teaching and learning observation reports;
- to identify and disseminate best practice in teaching and learning;
- to advise the Director on corrective action to be taken in respect of any poorly performing courses or Programmes;
- to consider and validate the Self Study Report of ABU DHABI POLYTECHNIC and its programmes;
- to identify good practice in all aspects of the ABU DHABI POLYTECHNIC's work, including Teaching and Learning Observations, and ensure that the best practice is disseminated to all appropriate staff;
- to make recommendations to the Executive Committee on faculty/staff development needs in relation to quality assurance;

- The committee is responsible to develop an annual strategy and conduct the research for activities that impact Abu Dhabi Polytechnic's quality and reputation.

**Membership:**

Head of Programme – Chair
Effectiveness and Assessment Manager
Five academic members of staff
Stakeholder Representatives
Students may be invited as required

**Meetings:**

Once per term or as required.

**Quorum:**

A quorum will consist of 4 members including the Head of the Programme.

**Reporting Procedures:**

The minutes will be circulated to all members of the committee and the Chair of the Executive Committee.


### 11.6    Infrastructure Committee

## Purpose:

The Infrastructure Committee is responsible for reviewing all proposals for changes in infrastructure that has been allocated to Abu Dhabi Polytechnic and providing information and recommendations to the Executive Committee.

## Accountability:

The Infrastructure Committee is a standing committee of the Abu Dhabi Polytechnic reporting directly to the Executive Committee.

## Terms of Reference:

- The committee conducts research and submits recommendations on proposals for building modifications.
- The committee conducts research and submits recommendations on proposals for large equipment acquisition.
- The committee develops and makes recommendations on policies regarding allocation of office, lab, and storage space.
- The committee is responsible to oversee workplace health and safety and may convene appropriate committees for safety reviews and training.
- The committee is responsible to recommend for approval/disapproval/amendment any Abu Dhabi Polytechnic proposed activity based on environmental health and safety compliance.

## Membership:

Senior Manager, Student and Support Services – Chair
Senior Coordinator, Support Services – Vice Chair
Programme representatives
Members of the faculty
Health and Safety Officer
Ad-hoc members may be invited as necessary.

## Meetings:

Once per semester or as required

## Quorum:

A quorum will consist of 5 members including the Chair or a Programme Head and 2 members of the teaching staff.

## Reporting Procedures:

The secretary of the committee will circulate the minutes to all members of the committee and the Chair of the Executive Committee.

## 11.7    Outreach and Recruitment Committee

**Purpose:**

The Outreach and Recruitment Committee is responsible to develop and implement (as authorized) outreach and recruitment plans and activities.

**Accountability:**

The Outreach and Recruitment Committee is a standing committee of the Abu Dhabi Polytechnic reporting directly to the Executive Committee. There is an overall steering committee with campus based committees at the two campuses.

**Terms of Reference:**

- The committee develops and submits to the Executive Committee an annual outreach and recruitment strategy.
- The committee develops and implements as authorized web-based marketing, social media, brochures, and other recruitment and outreach products.
- The committee receives and processes new student admission applications, and provides assessment of enrolment goals and recommendations to resolve deficiencies.
- The committee oversees extracurricular activities and community interactions, in particular, where they have the potential to enhance recruitment.

**Membership:**

Senior Manager, Student and Support Services – Chair
Senior Coordinator, Support Services – Vice Chair
Programme representatives
Members of the faculty
Registrar
Academic Counsellors

**Meetings:**

Once per semester or as required

**Quorum:**

A quorum will consist of 5 members including the Chair or Vice Chair.

**Reporting Procedure:**

The secretary of the committee shall circulate minutes of the meeting to all members and the members of the Executive Committee.

## 11.8 Personnel Affairs Committee

**Purpose:**

The Personnel Affairs Committee is responsible for monitoring and overseeing all issues related to staff in terms of professional development, disciplinary, support, and enforcing HR policies and procedures.

**Accountability:**

The Personnel Affairs Committee is a standing committee of the Abu Dhabi Polytechnic reporting directly to the Executive Committee.

**Terms of Reference:**

- The committee develops and submits to the Executive Committee an annual professional development strategy.
- The committee develops and submits to the Executive Committee an annual staff disciplinary action report.
- The committee develops and implements personnel support systems as required
- The committee develops and implements HR policies and procedures as required.

**Membership:**

Senior Manager, Student and Support Services – Chair
Senior Coordinator, Support Services – Vice Chair
Programme representatives
Members of the faculty
Registrar
Academic Counsellors

**Meetings:**

Once per semester or as required

**Quorum:**

A quorum will consist of 5 members including the Chair or Vice Chair.

**Reporting Procedure:**

The secretary of the committee shall circulate minutes of the meeting to all members and the members of the Executive Committee.

## 11.9 Student Affairs Committee

**Purpose:**

The Student Affairs Committee is responsible to monitor and oversee all issues related to students in terms of academic progress, disciplinary, admission, registration, and student activities.

**Accountability:**

The Student Affairs Committee is a standing committee of the Abu Dhabi Polytechnic reporting directly to the Executive Committee. There is an overall steering committee with campus based committees at the two campuses.

**Terms of Reference:**

- Receive and review reports on student academic progress.
- Receive and review reports on student disciplinary issues.
- Receive and review reports on student registration and admission.
- Monitor the performance of faculty.
- Identify and develop a range of activities to cater for student needs.
- Address appropriate issues raised in the report of the external auditors.

**Membership:**

Senior Manager of Student and Support Services, Abu Dhabi Polytechnic – Chair
Manager of Student and Support Services, Abu Dhabi Polytechnic
Heads of Programmes
Members of the faculty
Members of Student Services
Stakeholder Representatives
Students may be invited as required

**Meetings:**

Once per term or as required.

**Quorum:**

A quorum will consist of 5 members including the Chair or a Manager of Student Services and 2 other members of the staff.

**Reporting Procedures:**

The minutes will be circulated to all members of the committee and the chair of the Executive Committees.

## 11.10    Admissions Committee

### Purpose:

The Admissions Committee is responsible for considering all applications for admission to the Abu Dhabi Polytechnic's academic (degree-granting) Programmes.

### Accountability:

The committee is a Level 3 standing committee of the Abu Dhabi Polytechnic and is accountable to the Outreach and Recruitment Committee.  This is a campus based committee.

### Terms of Reference:

- Screen all applicants and recommend suitable applicants to the Outreach and Recruitment Committee.
- Establish time lines and develop procedures in conjunction with stakeholders (e.g., sponsors) to determine and optimize candidate metrics.
- Develop and implement entrance examinations.

### Membership:

Senior Manager, Student and Support Services – Chair
Senior Coordinator, Student Services – Vice Chair
Members of the Student Services staff
Registrar
Academic Counsellor
Corporate Stakeholders (as appropriate)

### Meetings:

At least twice per academic year

### Quorum:

A quorum will consist of 5 members including the Chair or a Student Services Coordinator and 2 members of the staff.

### Reporting Procedures:

The secretary of the committee will circulate the minutes to all members and the Chair of the Outreach and Recruitment Committee.

## 11.11 Curriculum Committee

**Purpose:**

The Curriculum Committee is charged with the responsibility to review all issues related to academic curriculum.

**Accountability:**

The committee is a Level 3 standing committee of the Abu Dhabi Polytechnic reporting to the Academic Affairs Committee.

**Terms of Reference:**

- Receive and review course subject evaluations.
- Receive recommendations and approve teaching and learning resources needed to support academic Programmes.
- Monitor the performance of faculty.
- Identify general faculty developmental needs.
- Address appropriate issues raised in the report of the external auditors.

**Membership:**

Student Services Manager – Chair

Heads of Programme

Members of the faculty

Stakeholder Representatives

Students may be invited as required

**Meetings:**

Once per term or as required.

**Quorum:**

A quorum will consist of 5 members including the Chair or a Programme Head and 2 members of the teaching staff.

**Reporting Procedures:**

The minutes will be circulated to all members of the committee and the chairs of the Academic Affairs and Executive Management committees.

## 11.12     Events Management Committee

**Purpose:**

Prepares the materials and equipment for events and manages registration from such events. This is a campus based committee reporting to Outreach and Recruitment Committee

**Accountability:**

The committee is a Level 3 standing committee of the Abu Dhabi Polytechnic reporting to the Outreach Recruitment Committee.

**Terms of Reference:**

- Prepare the materials and equipment for events
- Manages student registration from such events
- Address appropriate issues raised in the report of the external auditors.

**Membership:**

Manager Student and Support Services (Chair)

Members of the faculty
Members of Student Support Services

Stakeholder Representatives

Students may be invited as required

**Meetings:**

Once per term or as required.

**Quorum:**

A quorum will consist of 5 members including the Chair or Student Services Manager and 2 members of the teaching staff.

**Reporting Procedures:**

The minutes will be circulated to all members of the committee and the chairs of the Academic Affairs and Executive Management committees.

## 11.13    Health and Safety Committee

**Purpose:**

The Health and Safety Committee is charged with the responsibility to review all issues related to occupational health and safety at Abu Dhabi Polytechnic.

**Accountability:**

The committee is a Level 3 standing committee of the Abu Dhabi Polytechnic reporting directly to the Infrastructure Committee.

**Terms of Reference:**

- Make recommendations regarding instructional resources needed to support occupational health and safety.
- Review safety requirements and policies.
- Review and recommend general safety training and faculty/staff developmental needs.
- Review all issues and complaints related to health and safety and make recommendations as appropriate.
- Ensure that timely safety information is provided to students and employees.
- Establish time lines for inspections and review of work practices to identify changes, potential hazards, and risk management.
- Establish policies for and monitor and review incident investigations providing feedback on incident investigation findings, proposed controls and incident trends
- Manage incident resolutions and safety consultation arrangements.
- Address appropriate issues raised in the report of the External Examiner.

**Membership:**

Senior Coordinator, Support Services, Chair

Health and Safety Officer, Vice-Chair

Programme representatives

Faculty representatives

Ad-hoc members may be invited as required.

**Meetings:**

Once per term or as required.

**Quorum:**

A quorum will consist of 5 members including the Chair or Vice-Chair and 2 members of the faculty.

**Reporting Procedures:**

The secretary of the committee will circulate the minutes to all members of the committee and the Chair of the Infrastructure Committee.

## 11.14    Staffing Committee

**Purpose:**

Staffing Committees are responsible for reviewing, interviewing, and recommending candidates for open positions.

**Accountability:**

Staffing committees are ad hoc committees established for a certain position upon the opening of the position and after the position has been filled the committee is disbanded. Structurally, search committees fall under the Personnel Affairs Committee in terms of procedural guidelines and policies, but they are convened to fill a position in a particular division. Thus, search committee recommendations are provided to the appropriate Programme Head and the Abu Dhabi Polytechnic Director.

**Terms of Reference:**

- Works with the Human Resources Office to draft position announcement and publicize in appropriate venues.
- Gather and maintain records of applicants.
- Review credentials and experience and down-select to candidates for telephone interview and in-person interviews.
- Provides individual evaluations and recommendations for hiring to the Personnel Affairs Committee and the appropriate Programme Head.

**Membership:**

Appropriate Programme Head – Chair
Members of faculty
Member of Human Resources Office

**Meetings:**

Monthly or as needed at official opening of position.  After position is filled, committee is disbanded.

**Quorum:**

A quorum will consist of 3 members including the Chair or their representative.

**Reporting Procedures:**

The secretary of the committee will circulate the minutes to all members and the Chair of the Personnel Affairs Committee.

## 11.15      Student Disciplinary Committee

**Purpose:**

Student Disciplinary Committees are responsible for reviewing the student records/case notes, interviewing students and ultimately recommending a course of action for students who are under investigation in relation to a disciplinary action.  This is a campus based committee reporting to the Student Affairs Committee.

**Accountability:**

Student Disciplinary committees review a student's records / case and interview the student who is on a disciplinary action. Structurally, disciplinary committee falls under the Student Affairs Committee in terms of procedural guidelines and policies.

**Terms of Reference:**

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**Membership:**

Appropriate Manager of Student and Support Services – Chair
Two members of faculty
Two members of Student Services
Appropriate Programme Head (preferable)

**Meetings:**

As required.

**Quorum:**

A quorum will consist of 3 members including the Chair or their representative.

**Reporting Procedures:**

The secretary of the committee will circulate the minutes to all members and the Chair of the Student Affairs Committee

## 11.16    Student Council

**Purpose:**

To advise on the enhancement of student facilities and activities to enhance the student experience in terms of both teaching & learning and cultural enrichment.

**Accountability:**

The council is a Level 4 standing committee of the Abu Dhabi Polytechnic that is advisory in nature and all recommendations are submitted to the Executive Committee. However, the Student Council may take on responsibilities suited to student-lead activities.

**Terms of Reference:**

- The committee discusses, advises, and provides recommendations to the appropriate ad hoc and standing committees dealing with any aspect of student life or any issue in which the student perspective is desired.
- The committee organizes students to work with staff to enrich Abu Dhabi Polytechnic's cultural activities.
- The committee addresses and manages student issues pertaining to resources and the learning environment.

**Membership:**

Membership is limited to currently enrolled students.  Details to be determined by charter established by the inaugural class.

**Meetings:**

As specified in their bylaws.

**Quorum:**

A quorum will consist of a majority of the members as specified in their bylaws.

**Reporting Procedures:**

The secretary of the committee will circulate the minutes to all members of the committee.

# SECTION 12 - ACADEMIC POLICIES & PROCEDURES

## 12.1       Course Approval Policy and Evaluation

**Description of the Procedure:**

This procedural document specifies the processes through which the Abu Dhabi Polytechnic approves the offering of new courses and evaluates the offering of existing courses. These processes form an important part of the Abu Dhabi Polytechnic's quality assurance procedures.

**Aim**

The Course Approval process aims to:

- facilitate best practice in curriculum design, teaching, and assessment by requiring all academic staff to use a specified Course Handbook template that focuses on:
    - the course's contribution to learning in the context of the programme,
    - the learning outcomes of the course in the context of graduate skills,
    - the learning activities and experiences that students undertake in order to develop these graduate skills.
- facilitate efficient management of course documentation by requiring all academic staff to use the Course Handbook System to store their handbooks and route them;
- provide a number of opportunities for peer review of a new course's curriculum, pedagogy, and assessment;
- assist Departments to consider the resource implications of new courses;
- facilitate the routine evaluation of a course to assure the Abu Dhabi Polytechnic and the course leader that the course is contributing to learning in the programme as intended and that the learning outcomes are consistent with those stated for the course;
- encourage academic staff to engage in scholarship in teaching through reflection on course design; and
- encourage academic staff to evaluate the quality of teaching and learning within their courses by linking the course evaluation process with academic staff promotion and performance management processes including the compilation of teaching portfolios.

## 12.2       Course Handbook

Every course requires a Course Handbook.  The Course Handbook contains statements about:

- why the course is important to the learner;
- what the learner can expect to learn by studying the course in terms of content-based outcomes, cognitive outcomes, affective outcomes; and application outcomes by studying the course;
- how students are expected to engage with the course's learning activities and how these activities contribute to their attainment of graduate skills;

- how learning achievements are to be demonstrated and evaluated within the course.

The term "Course Handbook" refers specifically and exclusively to a document that addresses the above questions within the format specified in the Course Handbook Requirements policy. For a given semester there shall be only one Course Handbook per course code.

## 12.3      Curriculum Specialist

Each Abu Dhabi Polytechnic faculty is responsible for developing a Course Handbook for every offering of a course and providing the Course Handbook to the Chief Academic Officer.

The faculty is also responsible for evaluating the course after its first offering, after any major revision or where concerns are raised by students and then on a routine basis annually.  It is also the responsibility of the Head of Department to oversee the process of teaching observations in conjunction with the Chief Academic Officer.

## 12.4      Process for the Approval of a New Course

Step 1:

The faculty in conjunction with the Course Team prepares the documentation for a new course using the Course Handbook Template. (Refer to Course Handbook Requirements). The Course Handbook contains information about the course's aims, learning outcomes, content, organization, teaching strategies, assessment, texts and supporting materials, in a format designed to assist students plan their learning for the semester. Completion of all sections of the Course Handbook by the Curriculum Specialist is mandatory.

On completing the Course Handbook, the Curriculum Specialist accesses the Course Handbook System and proceeds to the Course Handbook Details page and uploads the new Course Handbook for approval by the Department Committee and the Curriculum and Quality Committee.

The faculty /Course Team also prepare a Statement of Resources for the new course. The Statement of Resources specifies the resources required for the course's teaching and assessment methods, including any technical staff, equipment and space resources required for workshop based activities, and any delivery infrastructure requirements, including those required to ensure health and safety of students and staff. This step should involve collaboration with the IT coordinator. For courses requiring the development of teaching and learning resources.

Step 2:

The new Course Handbook proceeds via an electronic workflow to the Head of Department.  The Department Committee considers the course handbook and or returns it to the faculty, if all sections have not been completed or there have been other oversights.

Step 2A:

The Course Handbook and Statement of Resources are reviewed by the Department Committee for the purposes of:

- assessing the quality of the curriculum and pedagogy by peer review;

- ensuring that the development of graduate skills within the course has been identified and addressed in terms of learning objectives, teaching and assessment strategies;
- ensuring that there is coherence between the course and the programme;
- ensuring that the course documentation is of a high standard;
- ensuring that sufficient Department resources are available to offer the course and approving these resources;
- ensuring the availability of technical staff, equipment and space (in the case of laboratory or studio based courses);
- deciding whether the course requires the development of a significant amount of teaching and learning resources, and if so, assessing the evidence of a scheduled resource production process;
- deciding whether the necessary collaboration has occurred in the development of the course; and
- ensuring that the course design responds to issues identified through the process of regular course evaluation.

The Head of Department (as Chair of the Department Committee) via an electronic workflow recommends approval of the Course Handbook to the 'Section coordinator of Curriculum Development' or returns the Course Handbook to the faculty via an electronic workflow with comments from the Department Committee.

Step 2B:

In cases where the course is a core course in a programme or forms part of an academic plan, the Curriculum Specialist also considers the Course Handbook for the purposes of:

- ensuring that there is coherence between the course and the programme;
- ensuring that the course documentation is of a high standard;
- ensuring that the processes of programme and course evaluation are mutually informative; and
- deciding whether the necessary collaboration has occurred in the development of the course.

Step 3:

The new Course Handbook proceeds via an electronic workflow to the Section coordinator of Curriculum Development (as Chair of the Curriculum & Quality Committee) for the purpose of:

- approving the course for offer;
- referring the Course Handbook to the Senior Section Coordinator and the relevant Curriculum Specialist to address a matter of concern.

Changes to programme structures resulting from the addition of, or changes to, courses are reported to the Programmes Committee. Please refer to the 'Programme Planning' and 'Approval Policy' for guidance on completing the submission for a minor modification to a programme.

Final Dates for Course Approval Process

The deadline for submitting a course handbook for a new course is 3 months before the planned commencement of that course. Where a department is unable to meet this deadline, the curriculum specialist should advise the Section coordinator of Curriculum Development and request an extension, giving reasons for the delay.

Step 4:

Upon approval by the 'Chief Academic Officer' all course handbooks are electronically submitted for publication.

## 12.5 Procedure for Evaluation and Modification of Existing Courses

The focus of course evaluation is on:

the quality of the course (e.g. content, coherence, relevance and currency); and

the quality of teaching and learning in the course (e.g. learning mode, student-teacher interactions, learning outcomes and educational resources used to support teaching and learning in the course); with a view to improve its effectiveness as a learning experience and its contribution to the Abu Dhabi Polytechnic's programmes.

All courses are to be evaluated after their first offering, after any major revision or where concerns are raised by students and then routinely. Course evaluations are to include evidence from a broad range of perspectives including self-reflection, focus groups, student feedback and student evaluation of courses survey instruments), disciplinary and expert peer review (using standard performance).

Section coordinators are to establish a schedule of course evaluation (including evaluation of teaching), in conjunction with curriculum specialists, for approval of the Chief Academic Officer. There are several purposes for this schedule. First, the schedule should minimize the chance of over-surveying stakeholders. Secondly, it should ensure that, across the section, course evaluations are carried out in a strategic manner and that on an annual basis each course is evaluated systematically using a range of evaluation methods.

A 'Course Self Assessment Report' (SAR) is prepared as a record of the data collected through the evaluation process and the curriculum specialist's reflection on the design of the course, the teaching and management of the course, the teacher-student interactions and the learning outcomes in light of the data collected. (Refer to the SAR template). The 'Course Evaluation Report' is to be used by academic staff members in the development of their teaching portfolios for the purposes of performance review, confirmation of appointment and promotion.

Each time a course is offered, the curriculum specialists should take the opportunity to reflect on and review the course, with a view to improving it. The section coordinator is responsible for ensuring that course evaluation takes places, and that evaluation outcomes are addressed...

Following the course evaluation/review, the curriculum specialists update the course handbook in preparation for the next offering of the course and communicate relevant information or outcomes to the section coordinator to inform the 'Annual Programme Monitoring process'.

Where revisions to the course handbook are minor - updating dates for assignments, updating texts and reference materials, and adjusting the sequence of the course content - the curriculum specialist submits the course handbook via the Course Handbook System to the section coordinator as a minor change for approval and publication.

The decision on whether the course change is sufficiently major to warrant approval by the Chief Academic Officer is at the discretion of the section coordinator, or the section coordinator in

conjunction with the curriculum specialist in the case where the course is a core component of programmes.

Where revisions to the course handbook are major, for example a large change in the course content, teaching methods, assessment strategy and/or resource requirements, the revised 'Course Handbook' and 'Statement of Resources' must proceed through Steps 2 to 4 of the approval process for a new course.

Table 1 Course Handbook Criteria

Each time a course is offered, the curriculum specialist has an opportunity to reflect on and review the course with a view to making minor changes to the 'Course Handbook'. All courses are normally evaluated annually, requiring the collection of student feedback, disciplinary and expert peer review, preparation of a 'Course Self Assessment Report' and if appropriate, revision of the 'Course Handbook'.

| 1.  Revised Course Handbook | 2.  Course Evaluation Report |
|---|---|
| (Required documentation) | (Required documentation) |
| Informs | Informs |
| Faculty<br><br>Head of Department<br><br>Administration (via the Senior Administrative Coordinator)<br><br>Students<br><br>Department Committee<br><br>Programme Evaluation Process | Faculty<br><br>Head of Department<br><br>Chief Academic Officer<br><br>Students<br><br>Department Committee<br><br>Curriculum & Quality Committee<br><br>Programme Evaluation Process |

## Documentation Supporting the Course Approval Process

For the approval of a new course the following documentation is completed:

## Course Handbook

The term "Course Handbook" refers specifically and exclusively to a document that complies with the format requirements specified in the 'Course Handbook Requirements' policy. Completion of all sections of the 'Course Handbook' is mandatory. Within each section there are instructions as to the information that the course leader is required to include in the 'Course Handbook' (mandatory) and information that the course leader is encouraged (optional) to include to further enhance students' understanding of the course's teaching and learning context.

This document is provided to students via publication on the Abu Dhabi Polytechnic website.

## Statement of Resources

This document identifies the resources required for the course's teaching and assessment methods. In addition, the document should identify any technical staff; equipment and space resources required for workshop based courses/activities, through completion of a Workshop Requirements Form, and should advise on any delivery infrastructure issues to be addressed including requirements to ensure the health and safety of students and staff. For courses requiring the development of teaching and learning resources, the Statement of Resources will also describe how the design, development and evaluation of teaching and learning resources will be managed and should include a schedule for due dates of draft and completed materials. Each department may develop its own requirements for a 'Statement of Resources'. Completed Statements of Resources are to be forwarded to the office of the 'Abu Dhabi Polytechnic Director'.

For the purpose of evaluation, the following documentation is prepared:

*Course Handbook* (see 'Course Handbook Requirements' below)

The Course Handbook provides students with information about what they can expect from the course and what is expected of them as they undertake the course.

Course Evaluation Report (SAR)

This document is a record of the data collected through evaluation and the course leader's reflection on the design of the course, the teaching and management of the course, the teacher - student interactions and the learning outcomes.

The above documentation, particularly the SAR, is to be used in an academic staff member's teaching portfolio for the purposes of performance review, confirmation of appointment and promotion.

The SAR, in conjunction with 'Department Assessment Board' data, provides a valuable source of information for the strategic management and planning of courses within the department.


**Document Control**

Course handbooks for all previous and current courses are stored in the 'Course Handbook System' identified by course code, course title, year, semester and date of last update, and are accessible by the Course leader for regular updating, approved by the Abu Dhabi Polytechnic Director, the Section coordinator, and the Chief Academic Officer.

## 12.6     Course Handbook Requirements

### Description of the Policy

This policy sets out the minimum requirements for a Course Handbook and documents the responsibilities of Course leaders for preparing course documentation, of Section coordinators for the management of Course Handbooks and of the Chief Academic Officer

### Purpose

The Course Handbook is an official and public Abu Dhabi Polytechnic document that contains commitments about the:

- learning objectives and outcomes of the course;
- course content, organization, and teaching methods;
- purpose, scope and timing of assessment for the course; and
- management of student-teacher communications and support for student learning.

It serves two important purposes:

- The Course Handbook provides students with information about what they can expect from the course and what is expected of them as they undertake the course.
- The Course Handbook forms an integral part of the Abu Dhabi Polytechnic's quality assurance process for its teaching and learning activities. As such it is subject to scrutiny and debate within the Department as to the coherence between the course and the programme to which it forms part and is formally approved by the Chief Academic Officer.

### Responsibilities

Course leaders are responsible for developing a Course Handbook for every offering of a course and providing the Course Handbook to both the Course Leader and the Section coordinator. Section coordinators are responsible for ensuring that all Course Handbooks are published in accordance with the format within 1 week of the commencement of teaching that unit.

The Course Handbook must be updated by the course leader for every offering of the course and must be available at all times for perusal by students and staff. Variations to the Course Handbook during the semester of offer are not permitted, except in exceptional circumstances, where the Chief Academic Officer, after advice from both the course and course leaders, may approve a variation that will be notified to students in writing.

### Content

The content of the Course Handbook will vary with the type of course. For example, the Course Handbook of a research project will be different from that for a course conducted by lectures and tutorials, which will be different from a course, conducted in resource-based mode. The over-riding consideration in the presentation of the Course Handbook is to convey important information to students.

In the preparation of the Course Handbook for a new course, it is possible that not all the information that will eventually be given to students is known at the time the Course Handbook is considered by the Department Committee. This should not cause a problem. The Course

Handbook as considered by the committee approval process should contain sufficient information for judgments to be made about the course content, the inter-relationship of the course with other courses and programme, the organization of the course and the appropriateness of the assessment requirements.

Once the course has been approved for offer by the Chief Academic Officer, the Course Handbook may be updated to include the additional information needed to be provided to students (such as contact details of teaching team members, reference texts, etc). All information required by the Course Handbook format should be finalized prior to the aforementioned publication dates for the Abu Dhabi Polytechnic. The Course Handbook must be identified by its course code, course name, year and semester to which it applies, and date of last modification.

## Evaluation

Courses are to be evaluated after their first offering, after any major revision or where concerns are raised by students, and then routinely. In conjunction with course leaders, and for the approval of the Chief Academic Officer, section coordinators are to establish a schedule of course evaluation (including evaluation of teaching). There are several purposes for the schedule. First, that it minimizes the chance of over-surveying stakeholders. Secondly that the schedule should ensure that across the department course evaluations are carried out each year with each course being evaluated systematically using a range of evaluation methods. The Course Handbook is revised to take account of feedback from the course's evaluation.

## Required Format for a Course Handbook

The term "Course Handbook" refers specifically and exclusively to a document that complies with the following format requirements. Completion of all sections of the Course Handbook is mandatory. Within each section there are instructions as to the information that the course leader is required to include in the Course Handbook (mandatory) and information that the course leader is encouraged (optional) to include to further enhance students' understanding of the course's teaching and learning context.

## 12.7　　Guidelines for Programme Evaluation

**Description of the Policy:**

This policy describes the Abu Dhabi Polytechnic's programme evaluation framework of annual programme monitoring and intensive stock take programme evaluations triggered by circumstances or emerging issues.

**Programme evaluation framework**

The framework has been developed with the following properties in mind:

- the process shall be timely and responsive to changing circumstances;
- it shall be sustainable at relatively low cost in funding and energy;
- it shall facilitate strategic planning, monitoring and decision-making;
- it shall draw upon advice and practices from elsewhere, as appropriate.

Two forms of evaluation are available, one regular but limited in scope, the other dependent on prevailing circumstances for its timing and scope:

- programme monitoring to be undertaken annually, with an emphasis on using performance indicators to make strategic adjustments to programmes;
- stock take evaluation to be undertaken when circumstances indicate that a significant reconfiguring or repositioning of a programme may be appropriate.

The strengths of the programme evaluation framework are:

- Time-linked evaluation (annual monitoring) is quite limited in scope and focused on facilitating strategically appropriate adjustments.
- Potentially more intensive evaluations (stock take evaluations) are not time-linked but are triggered by emerging issues and are focused on those issues.

**Annual programme monitoring**

For each programme there shall be an annual report on:

- the background of the programme;
- analysis of the programme (based on local knowledge and the Abu Dhabi Polytechnic's performance indicators for teaching and learning) in terms of its strengths, weaknesses, opportunities and threats (For programmes with small enrolments, the evidence provided by performance indicators may not be as useful as other sources of knowledge about the programmes);
- the actions proposed to improve the programme.

The proposed performance indicators for diploma programmes are described in the 'Self Assessment' proforma, attached below.

Formal responsibility for reporting shall reside with the section coordinator in whose department the Programme Course leader is a member, but it is assumed that the report will be prepared by the Course leader in consultation with the teaching team. (It may be useful to have colleagues from institutions not in direct competition with the Abu Dhabi Polytechnic comment on a draft of the report.)

The report should be brief (2–4 pages) and focused on matters of strategic importance. Where interpretation of indicators is ambiguous, limited additional evidence may be needed to assist with interpretation. The report shall be forwarded to the Chief Academic Officer by June 30 of each year. The report will relate to the evaluation of the programme for the previous calendar year.

The report shall be considered by the Curriculum & Quality Committee in conjunction with the Abu Dhabi Polytechnic Director's annual review of the Department's programmes.

Where changes are proposed, adjustments to the programme shall be made in an expeditious and timely manner by the Programme Course leader with the assistance of the Chief Academic Officer /Abu Dhabi Polytechnic Director and responsible section coordinator.

### Chief Academic Officer's annual review report

The Chief Academic Officer shall compile a brief annual review of the performance of the Abu Dhabi Polytechnic's programmes. The review report should draw upon the programme SAR's for each department and focus on the notable improvements, opportunities, issues and problems arising during the year. Emphasis should be placed on trends highlighted by the performance indicators and on the initiatives proposed to improve each department's performance.

The Chief Academic Officer's annual review report shall be forwarded to the Director by August 31 of each year, with copies to academic committees for noting.

### Stock take evaluation

As its name suggests, a stock take evaluation is an opportunity to take stock of a programme, triggered by issues or trends arising from the recent performance of the programme in the local, national and international contexts. Such triggers include:

- a worsening trend or sudden change in key performance indicators, such as a large drop or increase in enrolments or a significant change in student progress rates;
- consistent student feedback suggesting that desired learning outcomes are no longer being met;
- mounting concern over the viability of the programme given changes in staffing or changes in student choice of majors;
- a change in the external climate such as a competitor institution commencing a comparable programme or offering its programme in a new format (e.g., web based learning);
- the need to re-accredit a professional qualification;
- the need to examine a major offered in the programme because of concern over its functioning or viability.

Evidence that the programme is growing stale, despite annual adjustments (e.g. steadily decreasing employment rates may mean that the changing needs of employers are not being mapped into the curriculum).

More generally, a stock take evaluation shall be considered when there is a need to re-examine any of the following in the context of emerging trends:

- the currency and appropriateness of programme content and structure;
- the quality of teaching, learning and assessment;
- the relevance and effectiveness of the programme for stakeholders;
- the efficiency with which the programme is offered;
- the work climate;
- the function of the programme in the Department's suite of offerings;
- the viability of the programme relative to those offered by competing institutions.

Some questions that might be asked in relation to these seven broad areas of programme function are provided in factors that may need to be considered in programme monitoring or evaluation.

There is no set timeframe within which a stock take evaluation shall be initiated, although it is anticipated that those immediately responsible for the success of the programme (the Chief Academic Officer /Director, Section coordinator and Programme Course leader) will become increasingly sensitive to the potential need for an evaluation as time elapses from the previous stock take.

The Chief Academic Officer has formal responsibility for the initiation and conduct of a stock take evaluation, but normally acts in consultation with the responsible section coordinator and the programme course leader.

The evaluation team shall be chaired by the Chief Academic Officer (or nominee) and consist of internal and external members. External members should be eminent in the field and include at least one person from overseas where experience relevant to the nature and context of the programme is available.

The evaluation team shall be informed by a briefing paper prepared by the section coordinator and programme course leader. This briefing paper shall:

- describe the background and context of the programme;
- describe the circumstances that prompted the evaluation;
- provide the terms of reference of the evaluation;
- summarize the annual monitoring reports and the Chief Academic Officer's annual comments and recommendations concerning the programme (contained in the Chief Academic Officer's annual review);
- as appropriate, provide additional information and evidence relevant to the terms of reference;
- describe the options being contemplated to address the circumstances that prompted the evaluation (including the option that the programme be closed, if that is deemed relevant in the circumstances).

Although the time needed to prepare the briefing paper depends on the circumstances and information to hand, it is anticipated that the paper shall require no more than 3 months to prepare under normal circumstances.

It is recommended that, as part of the evaluation, a benchmark exercise be undertaken with a comparable programme to ensure that appropriate standards are being met or exceeded.

The format of the evaluation team's report shall be determined by the team, with the constraints that:

- the recommendations be related to the terms of reference;
- the appendices include the briefing paper, a summary of other evidence used in the evaluation, and the benchmark report.

The report includes comment on the adequacy of the evidence collected for annual monitoring and the strategic success of changes made since the previous stock take.

The evaluation team's report shall normally be submitted to the Abu Dhabi Polytechnic Board within
2 months of the commencement of deliberations by the evaluation team, whether those deliberations are undertaken in meetings or by electronic communication.

## 12.8    Programme Planning, Development and Approval Policy

### Description of the Policy

This document describes the process by which each section annually reviews and renews its programme profile, in the context of operational planning. It also documents the process the Abu Dhabi Polytechnic uses to assure itself and its stakeholders that when a new programme is proposed by a section it forms a worthwhile addition to the Abu Dhabi Polytechnic's portfolio of programmes, advances the Abu Dhabi Polytechnic's mission, is consistent with the Abu Dhabi Polytechnic's Academic Plan and is justified in terms of meeting community needs and the needs of employers.  In addition the policy provides a framework to support sections in the task of programme development and describes the processes of change and withdrawal that apply throughout the life cycle of a programme.

### Scope of Policy

This policy provides the framework for the process of sections' review and renewal of their programme profile.  This process includes the development of a new programme or suite of new programmes and the review of an existing programme or section of programmes such that changes in curriculum, programme structure and organization may result.

Purpose of the Programme Planning, Development and Approval Processes.

The purpose of these processes is to ensure that sections review and renew their programme profile annually within the context of section operational planning.

These processes are also designed to assure the Abu Dhabi Polytechnic and its stakeholders that its programme offerings:

- advance the Abu Dhabi Polytechnic's mission and meet community needs and the needs of employers;
- are consistent with the Academic Plan and promote the Abu Dhabi Polytechnic signature experiences;
- are supported by resources which are conducive to the offering of quality programmes;
- are likely to produce graduates who are equipped with knowledge and skills which will be of value to the community and which promote lifelong learning;
- are planned with advice from relevant internal and external experts, are consistent with Abu Dhabi Polytechnic policy, draw on the curriculum resources already available within the Abu Dhabi Polytechnic where applicable, take account of current best practice in the area and are aligned to the needs of  industry and the professions.

## The Programme Profile Plan

Each year, as part of planning, each section reviews its performance on the key performance indicators and its progress towards strategic plan targets. Each section also reviews its current programme profile and the relevant programme evaluation reports. In this context each section presents its Programme Profile Plan, which records all existing programmes in addition to the planned programme review and development activity of the section for the next two to three years.

The Programme Profile Plan sets out the section's intentions for:

- programmes or discipline areas which are to be reviewed;
- new programmes or discipline areas which are to be developed;
- programmes or discipline areas which are to be amalgamated or extended to another campus;
- programmes which are to be discontinued, or considered for discontinuation.

The Programme Profile Plan is reviewed and submitted annually as part of the section's annual self-assessment.

## Action Arising from the Programme Profile Plan

The section considers the Programme Profile Plan in the context of the Abu Dhabi Polytechnic's operational planning and budget process and provides advice to the Chief Academic Officer.

Approval by the Chief Academic Officer

The Chief Academic Officer responds to the Section's Programme Profile Plan with decisions, which may include:

- approval for programme development to proceed;
- approval for programme development to proceed subject to the development of a business plan and/or further considerations of resources and/or further consultation with other sections or support areas;
- approval for programme discontinuation;
- rejection of a proposed programme review and development activity.

## The Programme Development Process

After approval by the Chief Academic Officer for a programme development to proceed, the Chief Academic Officer becomes the responsible officer for ensuring and maintaining the quality of each programme development within the Section. Taking account of the scale and implications of each programme development, the Chief Academic Officer may appoint a Project Manager and may appoint a Programme Development Team.

The Chief Academic Officer is responsible, in consultation with the Project Manager where applicable, for ensuring that a project structure and methodology is put in place which:

- provides for appropriate academic input from all relevant areas of the Abu Dhabi Polytechnic;
- provides for input from students and graduates, where relevant;
- provides for input from external stakeholders;
- addresses external accreditation requirements, where relevant;

- provides for key support service and administrative areas to contribute to the programme development project;
- ensures that the Abu Dhabi Polytechnic strategic priorities are given due consideration in areas such as work integrated learning, research based learning, internationalization of the curricula, graduate attributes and the first year experience;
- ensures that resource implications are addressed in parallel with academic developments;
- includes a project timetable with specified milestones and deliverables, including documentation required for the approval process and the preparation for implementing the new programme or programme changes;
- ensures the programme can be implemented according to the planned time frame (see Timelines for Programme Planning and Approval).

The Guidelines for Programme Development supports the programme development process and includes:

- links to formats for programme submissions;
- resources to support curriculum development;
- guidelines for managing programme development projects.

## Approval for Advertising and Student Recruitment

A critical milestone in a programme development project is the approval to advertise the programme for the purpose of student recruitment. This information is collected in the Initial Programme Proposal.

The Chief Academic Officer is required to consider and to decide on the basis of information contained in the Initial Programme Proposal, whether to:

- approve a programme activity for advertising and subsequent development or revision; or
- refer the programme activity back to the Section for further development and resubmission to the Chief Academic Officer or
- reject the proposed programme activity.

The Chief Academic Officer considers Initial Programme Proposals on the advice of the relevant Section coordinator. The primary information that the Chief Academic Officer requires in making a determination to proceed with full programme planning is whether the development:

- will form a worthwhile addition to the Abu Dhabi Polytechnic's academic profile;
- will advance the Abu Dhabi Polytechnic Mission;
- is consistent with the Abu Dhabi Polytechnic's Academic Plan;
- has the resources necessary to support the programme development or for which plans are being prepared; and
- is justified in terms of meeting community needs and the needs of employers.

The Initial Programme Proposal also seeks information required for advertising and student recruitment purposes including:

- the programme title, length, campus of offer, mode of offer;
- programme content that needs to be advised to prospective students, such as the academic plans offered in a generalist qualification;
- admission requirements, including pre-requisites for The Logistics Abu Dhabi Polytechnic programmes;

- tuition fee information where relevant;
- year, semester of introduction (first intake).

The deadline for approval for advertising and student recruitment for a programme development to be included in the major annual student recruitment publications is set out in the Timelines for Programme Planning and Approval.

**Programme Approval**

Documentation

The programme development or programme review process produces a programme submission which documents the case for the new programme or the programme change. The programme submission provides the programme structure, requirements and content with supporting argument, and documents all information needed to be conveyed to students in the Programme Catalogue.

A checklist of issues which should be addressed in the process of approving a new programme or changes to an existing programme is provided in the Programme Approval – Programmes Committee Checklist.

Approval by Chief Academic Officer

The Chief Academic Officer is responsible to authorize the programme documentation arising from the programme development/programme review process. In authorizing the documentation to proceed through the committee approval process, the Chief Academic Officer must ensure that:

- the curriculum utilizes effectively the discipline expertise and scholarship of academic staff, offers a challenging learning experience to a diverse student body, and meets the requirements of the industry and its employers;
- other Faculties who contribute to the programme or who are affected by the programme changes have been consulted and have agreed with the aspects of the proposal which impact on them;
- the resources necessary to support the delivery of the programme have been arranged;
- appropriate support materials for the curriculum have been identified, developed and/or obtained through the Section Academic Work Plan process;

The processes for student recruitment and admission have been arranged and, in cases where special enrolment processes are required, that these have been arranged with the Students Affairs Manager.

**Committee Approval**

The relevant programme documentation as approved by the Chief Academic Officer is considered in sequence by:

- Section Committee
- The Curriculum & Quality Committee
- The Senior Management Committee
- The Senior Management Committee may refer the documentation to the Section Committee for clarification.

The Chief Academic Officer and the Project Manager for the programme development project (where a Project Manager is appointed) present the documentation to the Abu Dhabi Polytechnic Board, attending the meeting at which the submission is discussed. The Chief Academic Officer is responsible for ensuring that any changes required by the Abu Dhabi Polytechnic Board are made. For a minor programme change, the documentation is approved by the relevant Abu Dhabi Polytechnic Board.

Consequential Changes

Programme changes approved by Abu Dhabi Polytechnic Board may generate consequential changes for other programmes, such as for combined programmes which share academic plans, or courses which are shared between programmes. In this situation, the Chief Academic Officer ensures that the consequential changes are made to the Programme Catalogue entries of all programmes affected by the change.

Programme Withdrawal

Where a programme is listed for withdrawal in the Section Programme Profile Plan and the withdrawal is approved by the Chief Academic Officer, and then the Chief Academic Officer requested to ensure completion of a Programme Withdrawal Form for submission to the Abu Dhabi Polytechnic Board. Information is to be provided on any implications of the programme withdrawal, including any impact on students and transition arrangements, where required.

## 12.9 Work Experience Policy

## NOTICE TO STUDENTS UNDERTAKING WORK EXPERIENCE

### Personal Behavior

As a student of the Abu Dhabi Polytechnic undertaking a period of work experience, you are required to be aware of your personal responsibility to:

- obey the lawful and reasonable instructions of the organization with which you are undertaking the work experience programme;
- respect the security and confidentiality of any information that you may receive from that organization in the course of the work experience programme;
- maintain a standard of conduct befitting a student of the Abu Dhabi Polytechnic.

### Public Liability

You are indemnified for your legal liability in respect of third party claims for damages to property or injury to persons while undertaking approved work experience.

### Personal Property

Your personal property is not covered by the Abu Dhabi Polytechnic's Insurance at any time. If you wish to arrange cover for personal items you must do so at your own expense.

### Personal Health and Accidents

The Abu Dhabi Polytechnic does not provide any medical insurance cover.

### Work Experience

Work Experience is the term used to describe work that has to be carried out by students in order to complete the requirements of the course in which they are enrolled. Work experience could include activities such, field studies, practical experience in manufacturing companies, electricity generation sites, airport or automotive companies, etc.

## 12.10    Assessment Policy

**Description of the Policy:**

This policy specifies the Abu Dhabi Polytechnic's assessment philosophy and the general principles that guide the Abu Dhabi Polytechnic's assessment practices.

Philosophy of Assessment

Assessment is the process of forming a judgment about the quality and extent of student achievement or performance, and therefore by inference a judgment about the learning itself. Assessment inevitably shapes the learning that takes place that is, what students learn and how they learn it, and should reflect closely the purposes and aims of the course of study.

The aims of assessment include:

- improving the quality of the curriculum (courses and programmes);
- evaluating the effectiveness of the teaching process and facilitating continuing improvement;
- improving and promoting subsequent learning through feedback that is clear, informative, timely and relevant;
- formally certifying achievements for external audiences; and
- accountability to the Abu Dhabi Polytechnic, accrediting bodies, employers and the wider community.

Assessment methods may take a variety of forms: the key criterion for choice among methods should be appropriateness to the learning outcomes. Assessment should be criteria based rather than norm referenced, and may include individual or collaborative achievement or both. The requirements for learner success should be made clear, and the overall strategy should be to develop in students the ability to evaluate the quality of their own work in order to equip them to function as professionals with a commitment to life-long learning.

Assessment practices within the Abu Dhabi Polytechnic are based on the general principles of criteria based assessment. These are that the desired learning outcomes for a course of study are clearly specified; assessment tasks are designed to indicate progress towards the desired learning outcomes; and the assessment grade is a measure of the extent to which the learning outcomes have been achieved.

The standard of performance that is required for the award of a particular grade is a judgment that is based on the professional expertise of the various staff that contributes to the assessment process and is informed by experience with accepted standards, including, where appropriate, standards in other institutions.  There is no pre-determined distribution of grades as the outcome of assessing a group of students.

*Submission of Assessment Items - Extensions and Penalties*

Students are required to submit assessment items by the due date, as advised in the Course Handbook.  Assessment items submitted after the due date will be subject to a penalty unless an extension of time for submitting the item is approved by the course leader.

**Requests for Extension**

Requests for extension of time to submit an assessment item must be made in writing to the course leader.  Where the request is made on medical grounds, an appropriate medical certificate must be submitted.

The request for an extension should be lodged by the due date for the assessment item. A copy of the extension request should be attached to the assessment item when it is submitted.

## Penalties for Late Submission

An assessment item submitted after the due date, without an approved extension, will be penalized. The standard penalty is the reduction of the mark allocated to the assessment item by 10% of the maximum mark applicable for the assessment item, for each day or part day that the item is late. Weekends count as one day in determining the penalty. Assessment items submitted more than five days after the due date are awarded zero marks.

The course leader may vary provisions provided that any penalties to be imposed for late submission are approved by the relevant Academic and Assessment Committee in the context of approving the course handbook and are conveyed to the student as part of the course handbook.

### Deferred Assessment

Students may apply for deferred assessment if they were prevented from performing an assessment item, such as an examination, text, seminar presentation, or other assessment activity scheduled for a particular date. The following would generally be considered acceptable grounds to approve a deferred assessment:

- on the grounds of illness;
- accident;
- temporary disability;
- bereavement;
- sporting or cultural commitment at state, national or international representative level.

Students applying for a deferred examination for this reason may also apply for an alternate sitting or other compassionate circumstances (for example, death of a family member or close relative, serious illness of a family member or close relative, involvement in an accident where this does not involve injury, significant and unexpected employment problems or pressures, significant relationship problems).

Approval to sit a deferred examination will not be granted where students could reasonably have been expected to avoid the circumstances of missing or performing poorly in an examination. The following would generally be considered unacceptable grounds to approve a deferred examination:

- misreading an examination timetable;
- applications submitted after the 3 day deadline;
- holiday arrangements, including for international travel. Booking a plane ticket prior to the end of semester examination period is not considered an adequate reason for a deferred examination;
- sporting or cultural commitment, other than at state, national or international representative level.

Applications may be rejected if there is reason to believe that a student is seeking to achieve an unfair advantage through deferred assessment. This judgment may be based on the particular circumstances of the application together with the student's academic record and history of deferred examination applications.

Requests for deferred assessment must be made on the form provided for this purpose and accompanied by appropriate documentary evidence. Requests for deferred assessment in respect

of an examination must be lodged at the section no later than three working days after the date of the examination. Requests for deferred assessment in respect of other assessment items must be lodged with the course leader no later than three working days after the date pertinent to the assessment item.

### Approval of Deferred Assessment

An application for deferred assessment shall be considered by the course leader or nominee who approves or rejects the application. The course leader notifies the chair of the Academic and Assessment Committee of the outcome of the deferred assessment application.

### Form of Deferred Assessment

Where the Course Leader grants a student deferred assessment, this normally takes the form of a replacement assessment item or examination, in which case, the replacement assessment item should resemble as closely as possible the original assessment item or examination and should carry the same percentage of total weighting for the course.

In exceptional cases, the Assessment Board may respond to an application for deferred assessment by giving special consideration through one or more of the actions previously described.

A student who is granted deferred assessment in a course is eligible for the full range of grades available for that course.

Documentation required supporting an Application for Special Consideration, Extension or Deferred Assessment.

Students applying for deferred assessment or special consideration on medical grounds must submit a medical certificate, completed by a registered medical or dental practitioner stating:

- the date on which the practitioner examined the student;
- the severity and duration of the complaint; and
- the practitioner's opinion of the effect of the complaint on the student's ability to undertake the assessment item.

A statement that the student was "not fit for duty" or was suffering from "a medical condition" will not be accepted unless the information required above is included.

Students applying for special consideration, extension or deferred assessment on other grounds must submit suitable documentary evidence, such as a bereavement notice, letter from employer, practitioner or professional, statutory declaration, copy of accident report.

Students who feel that their case for special consideration, extension or deferred assessment has been wrongly dismissed by the course leader or manager, may appeal in writing against that decision to the Chief Academic Officer. The decision of the Chief Academic Officer is final.

### Appeals against Award of Grade

Students are encouraged to discuss with teaching staff their performance in assessment items during a course. Where a student believes that an error has been made or an injustice done in respect of the grade awarded for a course, the student may request a review of the grade. This request must:

- be made in writing on the appropriate form;
- state the grounds for the review request; and
- be lodged with the Head of Assessment within 14 days of the date on which student grades are posted on the Abu Dhabi Polytechnic's website.

All requests for review of grade shall be dealt with by the course leader then the Senior Section Coordinator. Students will be notified of the outcome of the requested review of grade by the course leader or the Senior Section Coordinator who will forward the recommendation back to the Section coordinator Curriculum & Assessment. The Grade Appeal Form for the course leader and the Senior Section Coordinator can be obtained from their offices. The Section coordinator Curriculum & Assessment grade appeal form is obtain from the assessments office.

A student who is dissatisfied with the outcome of the review of grade may lodge a formal appeal to the Abu Dhabi Polytechnic Appeals Committee (refer to Policy on Student Grievances and Appeals).

### Disposal of Assessment Material

Sections are required to retain all uncollected assignments, portfolios and other assessment materials for a minimum of two years from the date of issue of results. At the completion of the two year period, sections may destroy all assessment material except that material that relates to appeals that have not yet been finally determined.

### Responsibilities of Examiners and Course Leaders

Course leaders are responsible for conveying to students clear advice about the aims and objectives of the course, the assessment requirements, the relationship between the assessment methods and the expected learning outcomes, the criteria against which individual assessment items are judged and their relative weight.

Examiners are required to provide feedback to students on their performance in assessment items conducted during the semester. Examiners should give guidance to students and comment on work presented for assessment during the semester by written comments or other suitable means. Examiners should be prepared to discuss with students their performance in an examination.

### Responsibility of Academic and Assessment Committees

The Academic and Assessment Committee is responsible to the management committee for determining grades from individual course leaders in respect of all courses that are the responsibility of the sections. The Academic and Assessment Committee is also responsible for dealing with individual student cases, monitoring results and providing advice on student achievement, in respect of all programmes that are the responsibility of that section.

The Academic and Assessment Committee is responsible for:

- determining final grades through:
- scrutinizing grade recommendations from course leaders to ensure comparability of standards and consistency with Abu Dhabi Polytechnic policy;
- consulting relevant course leaders regarding any queries concerning their recommended grades.
- determining the classification to be awarded to students who have satisfied the requirements for diploma within the Abu Dhabi Polytechnic;
- approving the award of supplementary assessment;
- determining the outcome of applications from students for special consideration and deferred assessment;
- dealing with allegations of cheating and plagiarism as provided for in the policy on academic misconduct;
- determining the recipients of prizes and awards within the section; and
- recommending to the Awards Committee candidates for any academic prizes.

The Academic and Assessment Committee together with the Curriculum and Quality Committee are also responsible for:

- monitoring the outcome of assessment processes, identifying courses in which the outcomes are unsatisfactory and providing advice to the sections on actions to improve assessment outcomes;
- providing advice to the management committee on the basis of assessment performance indicators about the need to review programme structure and contributions of courses to a programme;
- providing advice to the sections in relation to the review of student progress through programmes for which the section is responsible.

The Academic and Assessment Committee may establish assessment panels to facilitate the business of the Academic and Assessment Committee. An assessment panel may carry out any of the functions of the Board with the exception of dealing with allegations of cheating and plagiarism recommending candidates for any academic prize and determining appeals against decisions in response to applications for special consideration and deferred assessment.

The Academic and Assessment Committee may modify the grades recommended by the course leader. Where such modification is made on the basis of academic judgment, the course leader will be consulted.

The Academic and Assessment Committee may appoint an alternative examiner or examiners from within the Abu Dhabi Polytechnic or external to the Abu Dhabi Polytechnic in order to provide advice on the assessment of a particular student or course.

The functions of the Academic and Assessment Committee may be carried out executively by the chair of the Assessment Board.

The chair of the Assessment Board is responsible for determining appeals from students against decisions in response to applications for special consideration and deferred assessment.

## 12.11    Grade Appeal Form / Course leader or Tutor

The grade appeal procedure is not used to review the judgment of the course leader or tutor in assessing the quality of a student's work. Possible grounds for appeal are:

- an obvious error in the calculation of the grade;
- assignment of grade on some basis other than the tutor's previously announced standards;
- assignment of a grade to student by the application of different measurements than were applied to other students.

Students who have such cases may follow these processes:

The tutor checks the grade with the student. If the student is still dissatisfied and asks for an assignment to be remarked then the Senior Section Coordinator is consulted. The Senior Section Coordinator will assign another teacher to re-mark the assignment. If the grade is not changed and the student is not satisfied, then the student appeals through the Section coordinator Curriculum & Assessment's office (see forms attached).

## STUDENT APPEALS FORM

Please complete this part of the appeal form and return it with the copies of all materials relevant to the appeal to your tutor. After your tutor has reviewed the appeal he/she will meet with you to discuss it.

Student's Name: _____

ID: _____

Mailing Address: _____

E-mail: _____

Phone: _____

Course title: _____

Section: _____

Semester and year taken: _____

Final grade: _____

Date form received by tutor: _____


I recommend the change of original grade from _____ to a grade of _____ or the original grade is sustained of _____

Course leader's Signature: _____

Date of meeting with student: _____

Does the student want to continue the appeal?  Yes ☐      No ☐

Student's signature: _____

Course leader's comments:




(If the student decides to continue the appeal, then all material will be forwarded to the Senior Section Coordinator.)

**GRADE APPEAL FORM / SECTION COORDINATOR**

Date received: _____

The second marker has changed the original grade from _____ to _____

OR

Original grade is sustained.

Section coordinator's comments:

Section coordinator's Signature: _____

Date of meeting with student: _____

Does the student want to continue the appeal?  Yes ☐      No ☐

## GRADE APPEAL FORM /SECTION COORDINATOR CURRICULUM & ASSESSMENT

Date received: _____

Student's name: _____

ID: _____

Mailing address: _____

E-mail: _____

Phone: _____

Course title: _____

Section: _____

Semester and year taken: _____

Final grade: _____

Tutor: _____

Date: _____

Student's signature: _____


Senior Curriculum & Assessment Coordinator's comments:

### 12.12    Policy on the submission of Coursework

### 12.12.1    Definition of "Coursework"

"Coursework" shall be defined as:

 **"any work, in any medium, which is not undertaken in an examination room under supervision, but which is submitted by a student for formal assessment during her/his programme of study".**

Examples of coursework include, but are not limited to, reports (formal and informal), case studies, presentations, group work, interviews, in-class tests and role play.

In- class tests formally fall within the definition of coursework, but are governed by separate regulations.

### 12.12.2    Authorship and the Use of Previously Submitted Material

Regulations to be followed by students

The citation of sources to indicate material that is not the candidate's own work.

All written coursework **must** be written by the candidate her/himself and in her/his own words, except for quotations from published and unpublished sources which shall be clearly indicated and acknowledged as such.  Similarly, any non-written coursework must be entirely the candidate's own work.

### 12.12.3    The Avoidance of Plagiarism (See separate policy on Plagiarism)

No candidate shall submit plagiarized work, defined by the Abu Dhabi Polytechnic as:

the use, *intentional or otherwise*, of material whose source is not acknowledged;

**and/or** the direct use of material, referenced or un-referenced, without a clear indication that the material is taken verbatim from its source.

### 12.12.4    The Avoidance of Collusion

No candidate shall submit work based upon collusion, defined by the Abu Dhabi Polytechnic as:

the use by one student, *intentional or otherwise*, of material produced by one or more other students, without specifying the authorship of that material.

### 12.12.5    The Normal Avoidance of Material that has been Previously Submitted.

A candidate shall not be permitted to incorporate material that has been submitted by the candidate or any other person in support of a successful application for a qualification of this or any other education establishment or any other qualification-awarding body, *except for the purpose of drawing attention, for reference purposes only, to such material, including calculations or the results of experimental work.*  Where such material is incorporated, the fact shall be recorded together with the title of the thesis or other work, the date of the award of the qualification and the name of the institution or other qualification-awarding body making the award.

### 12.12.6 Guidance to be Provided by Departments

All Sections are expected to provide guidance to students specifying, in the context of their subjects, that:

- quotations from published and unpublished sources must be indicated and acknowledged clearly;
- web-based materials must not be directly downloaded into an assignment and must be referenced fully like any other source material;
- students must not incorporate materials/assignments purchased or acquired from internet sites or commissioned from sources which write assignments for payment (paper-mill sites);
- paraphrasing of material from others must be referenced clearly;
- students should not normally incorporate materials previously submitted at this or any other institution towards the completion of an award, and any such inclusion must have been approved by a member of academic staff, and be referenced fully;
- sources of illustrations, photographs maps and statistics must be acknowledged clearly;
- (unless students have been instructed to produce a group assignment), students must produce work which is uniquely their own;
- where work is done as part of a group, the submission sheet must include a list of all students who have contributed to this work;
- reference to appropriate sources of information on plagiarism and good practice in the production of assignments.

### 12.12.7 Action to be taken in the event of a Suspected Breach of Regulation dealing with Plagiarism (2.1.3)

In general, where an examiner suspects a candidate of reproducing, in an Abu Dhabi Polytechnic assessment, work of another person or persons without acknowledgement, he/she shall follow the procedures documented in *The Plagiarism Policy*.

### 12.12.8 Submission Dates and Extensions

**Publication of Submission Dates**

All Sections should clearly publish

(a)   the submission dates for all coursework assignments and

(b)   the procedures by which coursework must be submitted.

The submission dates and procedures should normally be published no later than the first teaching week for the unit.

**The Granting of Extensions**

The granting of extensions is at the discretion of the relevant section coordinator or nominee.

Any student who believes that have a genuine grounds for submitting coursework later than the published submission date should, ***before the published submission date***, seek an extension from the relevant section coordinator or nominee.

Where a student does not seek an extension until ***on or after the published submission date***, the request will only be granted by the relevant section coordinator or nominee if, in addition to

there being genuine grounds for submitting the work after the published deadline, there are also genuine grounds to explain the student's failure to seek an extension earlier.

Extended submission deadlines should **normally** allow for work to be marked before the meeting of the Exam Board, and must not, under any circumstances, extend beyond the meeting of the relevant Progression or Award Committee.

All sections should establish a formal mechanism for recording extensions granted, so that an agreed record exists, and should operate a formal process for recording receipt of coursework.

The section coordinators (or nominees) should make it clear to students that if they are in genuine difficulties they should discuss an extension if appropriate.

### 12.12.9    The Conduct of In-Class Tests

**Status**

In-class tests are formally regarded as coursework assessments, and are administered by teaching staff instead of the assessment office.

**Extensions**

Students who are unable to complete an in-class test at the scheduled time shall be entitled to seek an extension.  In exercising their discretion about whether to grant a request, the relevant section coordinator or nominee shall be entitled to take into account the practicability of arranging a further sitting of a suitable in-class test before the meeting of the relevant examining body.  If setting an alternative class test is not practicable, students may be given an alternative type of assessment to undertake by the extended deadline.

**Cheating and Other Examples of Academic Misconduct**

These shall be handled in accordance with reference to the appropriate policy on Academic misconduct.

### 12.12.10    Special Arrangements for Students with a Disability, Illness, Injury or Adverse Personal Circumstances (See separate policy)

Where it has been agreed that a student is entitled to special arrangements for formal examinations, it shall be assumed that, unless the student is informed in writing to the contrary, such arrangements also apply to In-Class Tests.

## 12.13    Policy on the Conduct of Exams

### 12.13.1    Arrivals and Departures

**Arrivals**

No candidate shall be permitted to enter the examination room after the lapse of 30 minutes from the start of the examination. No additional time will be allowed to candidates who arrive at the examination room after the start of the examination.

**Departures**

No candidate shall be permitted to leave the examination room EITHER in the first 30 minutes from the start of the examination OR in the last 15 minutes of the examination.

Candidates who complete their work during the last fifteen minutes shall remain quietly seated until the invigilator announces the end of the examination.

Irrespective of their departure time, candidates must not (a) leave the examination room until all their written work has been handed in or (b) remove from the examination room any answer books (whether used or unused), mathematical tables or other data provided for use or other items of examination stationery except for non-returnable question papers.

### 12.13.2    Cheating and other examples of Academic Misconduct

Candidates are forbidden to:

- take to their desk in the examination room NEITHER any unauthorized book, manuscript, papers or other articles NOR any case, bag or other container in which books, manuscripts, papers or other unauthorized articles can be carried;
- make use of any of the types of material referred to above that were introduced into the examination room by either the candidate or another examinee;
- obtain, or endeavor to obtain, directly or indirectly, assistance in his/her work;
- give or endeavor to give, directly or indirectly, assistance to any other candidate;
- impersonate an examination candidate;
- allow themselves to be impersonated;
- write notes or rough work on any paper other than the answer books or question papers provided.

Where an Invigilator suspects a candidate of breaching Regulation 22.2, the following procedure shall be followed.

(a)    The senior invigilator shall be informed.  If the senior invigilator shares the suspicion, he or she shall:

- remove and retain any unauthorized material;
- report the matter to the Senior Curriculum & Assessment Coordinator or her/his representative), who shall have power EITHER to exclude the candidate from the examination room OR permit the candidate to finish the paper.

(b)    The candidate shall be informed before s/he leaves the room that s/he  is not required to admit to a breach of the regulations but s/he may submit a written statement if s/he so wishes, to be forwarded to the Curriculum & Assessment section.

(c)   At the conclusion of the examination, the invigilators shall prepare a joint report of all the circumstances, and forward this report to the Senior Curriculum & Assessment Coordinator, who shall prepare a report for consideration by the examiners.  Based on the report, the relevant Exam Board shall be responsible for determining the consequences for the student of the regulatory breach. The consequences shall be within the following guidelines:

- *for an initial* offence, the maximum penalty shall be that the student is awarded a fail grade, without the right to reassessment, for the module or subject overall, but retains the right to redeem credits by retaking the module or taking an alternative module, subject to the constraint that the overall mark for the retaken/alternative module/subject would be capped at 50% (Pass).
- *for a second or* subsequent *offence*, the maximum penalty shall be that the student's studies are terminated, and the student is required to leave the Abu Dhabi Polytechnic.

In the event that an examiner, when marking examination scripts, suspects a candidate of having breached Regulation 22.1, she/he shall consult the relevant section coordinator or nominee.  If the section coordinator or nominee considers that such a breach has occurred, s/he shall make a full report to the registry and shall warn the candidate that this report is being made.  The section coordinator or nominee shall inform the candidate that s/he is not required to admit a breach of the regulations but s/he may submit a written statement if s/he so wishes, to be forwarded to the Senior Curriculum & Assessment Coordinator.   The Senior Curriculum & Assessment Coordinator shall prepare a report for consideration by the Examiners, which shall be considered in accordance with 22.2.c above.


### 12.13.3    Disruptive Behavior

Candidates are forbidden to:

(a)    communicate with each other in the examination room;

(b)    address enquiries to anyone other than an invigilator;

(c)    smoke or consume alcohol in the examination room;

(c)    leave mobile telephones or pagers switched on in the examination room;

(d)    place mobile telephones or pagers on their desks;

(e)    indulge in any behavior which, in the opinion of the invigilator, may disturb other candidates;

(f)    indulge in any other form of conduct which may disrupt the smooth progress of an examination.

Where an invigilator suspects a candidate of breaching these regulations the following

procedure will be applied

(a)    The invigilator will normally order the candidate to discontinue the forbidden behavior.  If the candidate does so, no further action will be taken.  If, however, the candidate, in the same examination, subsequently engages in any of the behaviors listed in paragraph 22.3. The senior invigilator will order the candidate to leave the room.

When the candidate has left the room, s/he will be informed by the Senior invigilator that a full report will be made to the Senior Curriculum & Assessment Coordinator;

The senior invigilator will inform the candidate that s/he may submit a written statement if s/he so wishes, to be forwarded to Senior Curriculum & Assessment Coordinator.

At the conclusion of the examination, the Invigilators will prepare a joint report of all the circumstances, and forward this report to the Senior Curriculum & Assessment Coordinator, who will treat the matter according to the Policy on Student Discipline.

(b)   Notwithstanding clause "a" above, the senior invigilator is empowered to judge that the behavior is sufficiently disruptive to warrant the immediate removal of the candidate from the examination room.  In these circumstances:

When the candidate has left the room, s/he will be informed by the senior invigilator that a full report will be made to the section coordinator and Academic Affairs Committee;

The senior invigilator will inform the candidate that s/he may submit a written statement if s/he so wishes, to be forwarded to the section coordinator and Academic Affairs Committee.

At the conclusion of the examination, the Invigilators shall prepare a joint report of all the circumstances, and forward this report to the Academic Affairs Committee, who will treat the matter according to the Policy on Student Discipline.

### 12.13.4   Illness during an Examination

**Inability to Complete an Examination**

In cases where a candidate complains of feeling unwell in a scheduled room, leaves the examination, and is unable to return to complete the examination, s/he will be required to submit a medical certificate to the assessment staff in the Registry Office, normally within three working days.

The invigilator should record the circumstances surrounding the student's withdrawal from the examination on the front cover of the examination book, and the internal examiner responsible for marking the script shall inform the chair of the Exam Board or Progression and Award Committee.

The Committee shall be entitled to determine EITHER that the student should be treated in the same way as a student who was absent from the examination, OR that the student should be awarded a mark based on the work that had been completed.


**Completion of the Examination after a Break**

(a)   In cases where a candidate complains of feeling unwell in a scheduled room and leaves an examination but remains under supervision:

Arrangements may EITHER be made for the examination to be continued in the Medical Center, (provided a Medical Officer certifies that, whilst the candidate is unable to sit the examination in the normal place, s/he is fit to do so at that venue);

OR the candidate will be permitted to return to the examination room.

(b)   In cases described under (a) above, an invigilator will be required to enter in the candidate's answer book the time of departure and, where appropriate, subsequent return and to sign next to these entries.

### 12.13.5    Open Book Examinations

For all 'Open Book' examinations, the relevant Head of Department or nominee shall ensure that the candidates are informed, in writing, of the following:

- The title of the 'Open Book' examination paper;
- The precise nature of the material which can be taken into the examination;
- That the material is for the candidates' personal use;
- That, apart from the candidates being allowed the use of certain specified material, The examination will be conducted in all other respects in accordance with the normal rules governing the conduct of examinations.

### 12.13.6    Advanced Publication of Papers

In the event of an a written paper being published in advance of the date of an examination, the relevant Senior Section Coordinator or nominee shall ensure that the candidates are informed, in writing, of the following:

- The title of the paper;
- The date on which the paper will be available to candidates;
- The venue for collection of the paper by the candidates.

### 12.13.7    The Use of Electronic Calculators in Examinations

Candidates are permitted to use their own 'pocket size' electronic calculators, provided that they are silent in operation, and unless expressly disallowed from using them for specific examination papers. The Abu Dhabi Polytechnic shall not be responsible for the provision of i) calculators in the event of a breakdown, ii) power for their operation, or iii) spare batteries.

### 12.13.8    The Role of Academic Staff in the Running of Formal Examinations

Assessment coordinators shall ensure that, for each examination, a member of academic staff (preferably the course Leader) who is knowledgeable about the contents of the question paper, arrives in the examination room at least 15 minutes before the scheduled start of the examination and remains for the first 15 minutes to:

- ensure that the correct paper(s) are being taken, and check the paper(s) for any errors;
- inform the Invigilators of any amendments to be made;
- ensure that, where required, specialized stationery and supporting papers are provided;
- answer any queries about the question paper, and, before leaving the examination room, inform an Invigilator where s/he may be contacted in the Abu Dhabi Polytechnic for the duration of the examination, in the event of questions from a candidate on the paper.

It is desirable that the course leader be able to be contacted by telephone throughout the duration of the examination.

In a team teaching situation where different examiners contribute to assessment in a course, the course leader is responsible for ensuring that appropriate moderation processes are in place.

### 12.13.9    Security of Draft Examination Papers and other unseen assignments

Electronic copies of draft questions for formal assignments and draft examination papers should always be held on CD, DVD or Pen Drive.   They should never be sent by E-mail, nor should they be put on shared drives.  Disks should be stored only in a locked cabinet within a locked room. There should be no unnecessary electronic copies.

Draft paper copies, e.g. prepared for transmission to the external examiner for comment, must only be prepared immediately before dispatch and must be stored only in a sealed packet in a locked cabinet in a room that is always locked if/when it is left empty, even for brief moments. There should be no unnecessary paper copies.

### 12.13.10    Invigilation of Examinations

Invigilation shall be undertaken by staff specially recruited for this purpose, who shall be required, as part of their contract, to undertake formal invigilation training.

It is the responsibility of the invigilators to supervise examinations in accordance with the normal conventions governing the Conduct of Examinations.

All invigilators must be present in the examination room to which they have been appointed from twenty minutes before the start of the examination until all answer scripts have been removed from the examination room after the conclusion of the examination.

Invigilators are responsible for the distribution of question papers before the start of each examination, for the collection of script answer books from each candidate and for checking and entering on the Room Report provided, the number of answer books collected.

Under normal circumstances, at least two invigilators must remain in the examination room throughout the examination except when their invigilation duties require them to leave.

At the time scheduled for the start of the examination an invigilator will:

    ii)    make an announcement to the effect that candidates must satisfy themselves that they are in possession of the correct paper;

    iii)    ask candidates to carefully study the instructions at the head of the examination paper;

    iiii)    make all other necessary announcements.

In the event of an invigilator suspecting a candidate of cheating, the invigilator shall act in accordance with paragraph 22.3.

In the event of an invigilator judging that a candidate's behavior is disruptive, the invigilator will act in accordance with paragraph 22.3.

Candidates wishing to make a temporary withdrawal from the examination room for personal reasons must be accompanied by an invigilator or by a person authorized by the invigilator.

The invigilators will immediately inform the Head of Assessment (or her/his representative) of any unsatisfactory conditions which they consider detrimental to the conduct of the examinations.

Invigilators are expected to focus on their task of invigilation throughout their session in the examination hall.

### 12.14    Policy on the Disclosure of Results

### 12.14.1 Formal publication of a student's results

Following each meeting of a Board of Examiners, the results for each student will be published, normally via the information portal, by the assessments staff.

The results formally published for each student will normally comprise THREE elements:

- The overall course results;
- The overall unit results;
- The results for individual assessments.

### The Overall Course Results

(a) The overall course results will comprise the student's eligibility to:

to progress to the next stage of study, or complete a programme of study, or receive an award.

(b) The format of overall course results, and the terminology to be used for different outcomes, will be agreed by the relevant Standing Committee on an annual basis.

### The Overall Results for each Unit

(a) The overall unit/subject results will comprise the student's:

- overall grade, and
- overall result.

(b) The format of overall unit/subject results, and the terminology to be used for different outcomes, will be agreed by the relevant Standing Committee on an annual basis.

### The Results for Individual Assessments

(a) The individual assessment results will comprise, for each component of each unit's assessment:

- the student's grade, and (where the overall result for Unit/subject is "Not Yet Passed"), details of the further assessment that needs to be undertaken, and the date by which the work must be submitted, for those components for which the student has not passed and has not forfeited the right to further assessment.

(b) The format of assessment results, and the terminology to be used for different outcomes, will be agreed by the relevant Standing Committee on an annual basis.

No result will be formally published unless it has been authorized by the Board of Examiners.

Notwithstanding and under very exceptional circumstances, the Chair of the Board of Examiners (or nominee) may, subsequent to the meeting of the Board, authorize the publication of a result that had not been approved by the Board. In such cases, the amendment, and the reason why Chair's Action was required, will be appended to the minutes of the Board.

No student will be informed of their overall result until the result has been formally published accordingly.

After the formal publication dates, the results will continue to be available via the Information Portal until shortly before the next assessment period, when the information will be removed to enable the next set of results to be prepared. Students will normally be able to print their results at any time, subject to the constraint that the Information Portal may need to be taken off-line occasionally for maintenance.

If publication on the scheduled date proves impossible *via the Portal*, the Senior Curriculum & Assessment Coordinator will be empowered to authorize the publication of results by alternative means. The first strategy to be attempted will make use of secure electronic channels of communication, accompanied by a warning that students must seek confirmation of their full results via the Portal as soon as possible.

However, if alternative electronic methods are unsuccessful or unavailable, the Senior Curriculum & Assessment Coordinator will be empowered to authorize the publication of results via the telephone, subject to the student correctly answering questions to confirm their identity, and again accompanied by a warning that students must seek confirmation of their full results via the Portal as soon as possible.

### 12.14.2    Informal Disclosure of a student's results before formal publication

Marks awarded by internal markers for continuously assessed work

"Continuously assessed work" is defined as: all assessed work except (a) examinations organized by the Assessment Unit and (b) any single item of assessment (such as a dissertation) which forms 100% of the assessment for a unit.

Marks awarded by internal markers for continuously assessed work will be disclosed to students throughout the academic year, as a matter of routine.


Other results

No student will be informed of *any elements of their results other than those defined in paragraph* above until the results have been formally published according to paragraphs above.

Non-disclosure to third parties

Only a student's own examination and other assessment marks will be disclosed to them and no member of the Abu Dhabi Polytechnic will be permitted to disclose or discuss with a student or other unauthorized person the marks gained by another student.

Where students can, for good reason, anticipate their non-availability when results are published, they may lodge with the section coordinator a written instruction identifying a person to whom such disclosure may legitimately be made. Such an instruction must be accompanied by a clearly established means of confirming the identity of that person.

Should students come to a member of staff having found out, by whatever means, the marks of another student, and wish to discuss them, perhaps in relation to their own examination performance, the member of staff will decline to do so.



### 12.15    Independent Study Policy

An Independent Study is a course for academic credit which offers a student an individualized educational experience under the supervision of a qualified instructor.

ADPoly doesn't normally allow students to conduct independent studies. However, under extenuating circumstances a student might be allowed to study on his/her own under the supervision of a faculty member.

The head of department in conjunction with an assigned faculty will determine the objectives of the independent study and the amount of credit awarded. Academic credit is awarded when the student fulfills the objectives set by the department.

Each case will be evaluated by the head of department for the particular program, under the guidelines of the program objectives, and a proposal will be submitted for approval to the ADPoly Director.

The following steps shall be strictly adhered to when considering an independent study case:

**Approval:** Each independent study requires approval of the supervising instructor along with that of the head or department.

**Faculty:** Work should be accomplished under the supervision of a faculty member with appropriate experience related to the topic. The supervising faculty member should be within the department sponsoring the independent study.

**Course Content/Quality:** An independent study will not typically duplicate available course offerings in the term taken or be used as a replacement for required courses, but instead consist of work done by the student that explores new material or clearly advances the student's knowledge beyond previous experience. Each independent study must provide a rigorous academic experience with learning objectives and scope comparable to any other undergraduate course.

**Time Required/Meeting Schedule:** In addition to a minimum requirement of individual effort, the student is expected to meet with the instructor on a regular basis. Total effort should approximate that required for a typical undergraduate course.

**Final Assessment:** The student should be expected to produce a report or equivalent to be completed during the semester for which he/she is registered for the course.

**Grading:** The instructor will evaluate the work, including the final report, associated with the independent study and submit a grade by the end of the semester.

**Credit toward Major or Minor:** Each head of department will determine whether an independent study course successfully completed will count toward the major or minor.

**Limits:** Each head of department will determine the limits for independent studies in those subjects within their department.

## 12.16    Research Support Policy

The importance of scientific research and scholarly activities in applied science and engineering technology is one of the priorities of Abu Dhabi Polytechnic. These priorities are in complete harmony with the mission and strategic plans of ADPoly to improve the quality of life in the United Arab Emirates, to participate in leading discipline-specific scientific and engineering research over the country, and to be recognized as a major stakeholder in the process of industrial development nationally and internationally. As the academic programs at ADPoly focus on applied sciences and engineering technology, the research strategy aims to enhance the research capability for the benefit of ADPoly, the local community, Abu Dhabi, and the UAE. The research strategy of ADPoly also enables staff and researchers to collaborate on advances in teaching and learning, and in applied research, as well as to ensure that the outcomes of research projects are easily accessible to students, staff, parents, the community, and industries.

The Abu Dhabi Polytechnic research strategy is intended to form a reference point and provide the basis for the actions taken to ensure that research contributes fully to ADPoly's strategic priorities and objectives. This research policy sets out the general standards, principles and responsibilities regarding good research practice in order to materialize the ADPoly research strategy. The policy does not stipulate details of operational practice at a divisional level, but serves to ensure that researchers are fully aware of the processes and procedures for research. These research guidelines provide and orient researchers with the ethical and professional standards related to research, including those involving human subjects and animals. The policy also offers guidance to encourage strong ties and specific partnerships with national and world-leading institutions to develop and extend our research quality. These guidelines additionally serve to elucidate, increase awareness and stimulate discussions on the trends of scientific practice between researchers and will provide benchmarks when problems arise.

This policy is intended for all researchers, teaching and support staff at ADPoly and to those who have related supervisory, managerial or administrative responsibilities. It complements other institutional policies and guidelines in drawing together elements of good practice and is not exhaustive.

## 12.6.1    Research Management

Abu Dhabi Polytechnic has distinguished and highly qualified faculty and staff members in diverse fields of discipline and expertise and with proven research experience. There exists the potential to advance research initiatives which will endeavor to contribute to improving applied science and engineering technology in the United Arab Emirates. Therefore, research, basic and applied, is amongst the principal priorities of ADPoly and falls under the control of the Research Unit led by the ADPoly Director.

The Research Unit (RU) at ADPoly is a multidisciplinary and multi-professional group of members from the ADPoly faculty, staff, and collaborative partners. The unit comprises of two committees: the Research Committee (RC), and the Research Ethics Committee (REC), both of which report to the ADPoly director. The RU together with the Institutional Effectiveness Unit is responsible for reviewing the content of this policy on an annual basis. The RU serves as the administrative and technical body that facilitates, regulates, and observes the processes that serve to promote and fulfil the vision, mission, and objectives of ADPoly. It works in a collaborative and complementary manner with other faculties and administrative bodies of the Institute of Applied Technology and other government, equivalent public bodies, complementary organizations, and private technical industries in the country. Another role of the RU is to decide on appropriate budgeting for research funded by the institution or other externally research funded agencies.

ADPoly's commitment to good research conduct is central to an effective research system. Therefore, the Research Unit lays down its expectations for high standards of research integrity as well as the quality and reliability of the research outcomes expected.

### 12.6.2    Research Integrity and Accountability in the Institution

• Research processes are tailored to identify and preserve accuracy and the truth.

• The universal principles that guide research are regarded as vital to ADPoly.

• Of paramount importance is the need to uphold high ethical standards, particularly in the validity and accuracy of data collection and reporting. The research community acknowledges its obligation to the public and to ADPoly, and is aware that professional, industrial, and public policy might be defined or altered based on the research outcomes.

• Research processes including communication between collaborators, maintenance of and reference to research records, presentations, work discussions at meetings of experts, publications, peer reviews, and verification and extension by other researchers, all underwrite to the fundamentally self-correcting and ethical nature of research.

• Research competition can have a strong and positive impact, stimulating effort and increasing the quality and immediacy of the work produced.  However, good research practice is compromised when competitiveness forces insufficient preparation and poor quality publications. In addition, dividing significant and comprehensive research reports into several smaller publications can increase the authors 'publication count', as is the case of safe and unnecessary research at the cost of more original and ground-breaking areas of study. Accordingly, ADPoly emphasizes original research of high quality in addition to the quantity of output.

• ADPoly requires of its researchers a strong commitment to high standards of professional research conduct.

• ADPoly acknowledges its own responsibility in ensuring the health and safety of all those associated with the research. In addition it is the responsibility of each member involved in research to adhere to this policy with respect to good research practice and health and safety.

### 12.6.3    Aims of the Research Unit (RU)

Abu Dhabi Polytechnic offers its discipline-specific programs in the field of applied sciences and engineering technology. The Research Unit is therefore involved in the strengthening of educational and applied technical research. It aims to contribute to developments and improvement in fields of applied sciences and engineering technology for the community and country. The research policy in this regards targets the following:

- The promotion, monitoring and implementation of high quality technical research evidenced through:
    (i) Enhancing ADPoly's national reputation as a leading industrial research Institute and to establish a higher international profile for its research activities.
    (ii) Driving and sustaining an active research culture that fosters high achievements.
    (iii) Increasing the research activities to meet the society requirements of applied research.
    (iv) Maintain public trust in ADPoly's research and in research as a whole.
- The creation of ethical and evidence- based research policies, including norms and standards.
- The dissemination and translation of valuable knowledge or research.

### 12.6.4     Roles of the Research Unit

- Initiating and maintaining cooperative partnerships and exchanging of expertise with national and international research institutions.
- Research supervision at the institution accompanied by sound management practice to create an effective and enabling environment for researchers and timely research outputs.
- To focus research with an emphasis on the major UAE national priorities, especially in the applied sciences and engineering technology fields.
- To monitor the execution and completion of research projects as well as the approval of expenditure.
- To attract foreign support for research undertaken by ADPoly faculty, staff, and students.
- To facilitate the patenting of inventions and its registration to protect the rights of the institution and researchers.
- To fund students involved in research, or employment therein, undertaken by faculty and staff members.
- To fund dissemination and publication of research outputs by faculty, staff, and students through participation in conferences and scientific debates at which research findings are presented.
- To facilitate the optimal use of available resources regarding services and facilities and their distribution among researchers.
- To regulate and control external financial support for research projects from local or international sources equitably.
- To influence human resource policy to recruit, retain and incentivize faculty/researchers with the maximum potential to achieve excellence in high-quality high-impact research, as well as the ability to apply their intellectual capacity within a multi-disciplinary group.
- To support researchers with funding/grant applications for national and international research.
- To provide mentorship and support to junior staff and students for capacity building in research.
- To develop collaboration with external organizations and industry to review potential areas for research that will address the applied sciences and engineering technology needs and demands.
- To ensure that programs and research directives encourage an active research ethos and culture which promotes staff development, innovation and enterprise, nurtures young research talent, and enhances the faculty, staff, and student research experiences in line with UAE goals.
- To develop post-graduate research programs which will lead to capacity building, increase the number of future researchers, and provide the opportunity for new and innovative research.
- To consider developing, supporting and promoting research efforts in theoretical, applied, and industrial based development at a level that meets national and internal standards of excellence.
- To use incentives that encourage and promote research and peer reviewed publications as a means of increasing research output and of encouraging faculty, staff, and students to engage in this pursuit of truth.

### 12.6.5     Research Strategy and Research Action Plan

The ADPoly research strategy and research action plan is aligned to the ADPoly strategic plan and is the responsibility of the RU under the leadership of the ADPoly Director.  These is disseminated and made known to individual staff within divisions in order for the institution's wider goals and objectives to be achieved.

The research strategy and subsequent action plan is effective for a period of time that is usually congruent with the ADPoly strategic plan. These are reviewed and monitored periodically for progress on goals and objectives.  These and other market and industry factors help to shape subsequent research strategies and action plans within the realms of ADPoly strategic plan. Considerations include:

- Developing an ADPoly research framework that identifies a key research niche and major research foci, including inter-disciplinary research, that can brand the institution with respect to its expertise and research output in the identified fields.
- Developing a systematic method of enabling strategies, key assessment indicators and outcomes for the achievement of research goals and objectives including those in the institution's key identified research niche and foci.
- Generating rules and regulations for best practice in the management and administration of research which include ethical approval and pledges, making research data available and facilitating policy and procedure development based on empirical evidence with regulators and other related partners.
- To scan the horizon for innovative opportunities for expert  research sub-units that can lead to staff development for teaching excellence and  capacity building of young Emirati with research and teaching aspirations.
- Facilitating accessible databases and other online formats in the public domains for research and research outcomes.

### 12.6.6    Research Committee and Research Planning

In discharging its functions the Research Committee shall:

- Enhance the scholarly climate by developing overarching faculty strategies for advancing research scholarship and creative work; and by generating ideas and approaches for implementing these strategies.
- Create policy and establish application procedures for research resources designated to the committee for adjudication.
- Facilitate connections and communications between different bodies of research in the country.
- Liaise with any research committee(s) in units, encourage and exchange research/scholarly ideas, enhance the scholarly climate of the faculty, and discuss the development of research, scholarship, and creative work within and across the units at ADPoly.
- Constitute sub-committees for research adjudications, and from time to time establish ad hoc working groups to deal with emerging priorities in relation to research and scholarship.
- Grant Adjudication Sub-Committee (chaired by a member of RC), reviews applications for research grants and other grants or awards, according to policy and procedures established by the RC, and disburses funds as available and appropriate.

### 12.6.7    Research Governance and Delegation of Responsibilities

The ADPoly Director is charged with overall responsibility for research conduct while the committee chairs of the RC and REC are responsible for ensuring good research conduct in the institution. The heads of divisions/programs and research supervisors should ensure a research environment and ethos that ensures good research conduct. Within divisions, it is the responsibility of each staff member engaged in research to adhere to the principles of good research practice.

Unless expressly prevented by this document, institutional policy, a decision of the Executive Committee, or the Board of Trustees, the ADPoly Director may delegate in writing the responsibilities imposed upon her or him in this document but only to the Committee Chairs of a Research Unit in the institution and only in respect of research carried out within the RU.

Any information regarding research that is required to be given by the ADPoly director to a head of division/program shall be given to all of the heads of divisions/programs.

### 12.6.8 Research Principles and Ethics

The institution expects all staff/researchers to consider the ethical and legal implications of their research. It requires an intense awareness of their responsibilities to the institution, research participants, to funders, to collaborators, to the profession, to regulatory bodies and society. The overarching principles and ethics include the following:

- Researchers may participate only in work that conforms to accepted ethical standards.
- Researchers must be aware of and adhere to ethical principles of:
  (i) Justice
  (ii) Veracity
  (iii) Respect for people and their privacy
  (iv) The avoidance of harm; and respect for non-human subjects of research
  (v) Researchers must comply with the Workplace Health & Safety Regulations and any institutional codes of conduct, where research procedures are of a kind requiring approval by the ADPoly Director or by other safety or regulatory committees, research must not proceed without such approval.

#### 12.6.8.1 Competence
Researchers should participate only in work that they are competent to perform.

#### 12.6.8.2 Collegiality
Researchers in the employment of ADPoly are expected to maintain a high level of professionalism and to demonstrate this in the research arena. It is expected that if doubt arises concerning good research practices, researchers should seek succour on their research from their colleagues or peers. Debate, constructive criticism, and deliberation of research work are important parts of the research methodology.

#### 12.6.8.3 Confidentiality
Confidentiality must be observed with respect to data of a confidential nature and such information must not be used by the researcher to their own personal advantage or of a third party. Absolute strict confidentiality must be observed with respect to data if the research is under consideration for patent protection or for commercial reasons.

#### 12.6.8.4 Scrutiny
Subject to the above principles of confidentiality, research results and methods should be open to scrutiny by colleagues within the institution and, after publication, by other members of the profession at large.

#### 12.6.8.5 Reputation
Researchers have a duty to ensure that their work enhances the good name of the institution and the profession to which they belong.

#### 12.6.8.6 Honesty
Researchers have an obligation to highest standards of intellectual honesty in the conduct of their research.

### 12.6.8.7    *Accessibility*

Researchers have an obligation to keep records and data in such a way as to facilitate the verification of the research by other researchers or future research

## 12.6.9    Research Practice Policies and Procedures

### 12.6.9.1    *Research-Data Storage and Retention*

Data (including electronic data) must be recorded in a durable and appropriately referenced form.  Data management complies with relevant privacy protocols of the institution or a relevant education or government protocols.

Data must be held for sufficient time to allow reference to them.  For data that are published, this may be for as long as interest and discussion persists following publication. As a general rule, the minimum period for retention is 5 years from the date of publication but for specific types of research, such as clinical research, 15 years may be more appropriate.

Data related to publications must be available for discussion with other researchers. Should data have confidentiality clauses it must be stored and located such that referencing it is possible without breaching confidentiality.

Where computing systems are accessible through networks, particular attention to the security of confidential data is required.

When data are obtained from limited access databases, or via a contractual arrangement, a written indication of the location of the original data, or key information regarding the database from which it was collected, must be retained by the researcher.

Security and confidentiality must be assured in a way that copes with multiple researchers and the departure of individual researchers from the institution.

Intellectual Property (IP) agreements to protect intellectual property rights may be entered into between the institution, a researcher and a sponsor of the research.  Where such agreements are intended to limit free publication and discussion, the limitations must be explicitly agreed. All IP should be made known immediately to the ADPoly Director.

It is the obligation of every researcher to enquire whether any confidentiality or IP apply to a project before he or she commences work on the project and of the ADPoly Director to inform researchers of their obligations with respect to any such provisions.

Any confidentiality or IP involving a student must not conflict with the institution's primary expectations for examination of and access to a student's thesis after examination.

### 12.6.9.2    *Research Authorship*

To be named as an author of an article or any other work for publication, the staff member must have substantial participation in all three of the following:

- Conception and design of the project, or analysis and interpretation of the research data.
- Drafting or revising the outcome critically for important intellectual contributions; and for final approval of the version to be published.
- In addition, the person must play such a role in the research output as to be sufficient for her or him to take public responsibility for at least that part of the output which is in the person's area of expertise.

It follows that participation solely in the acquisition of funding or the collection of data does not justify authorship, nor does the general supervision of the research group.

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Naming as an author a person who fails to meet the above requirements is the practice of "honorary authorship" and is not permitted.

The authorship of collaborative research output must be settled between researchers at the initial stages of the project, and reviewed if or whenever there are changes in participation.

When there is to be more than one author, the authors must decide which of them is to be nominated the executive author. The executive author is responsible for all record-keeping regarding the research output.

Any part of an article or other work for publication which is critical to its main conclusion must be the explicitly agreed responsibility of at least one author.

If collaborative research is to be published, either in any electronically or hard copy format, co-authors must acknowledge authorship and contributions in a document signed individually which must make public that the signatories are the sole authors or it should divulge any other individual(s) who although qualified to be named as such has/have agreed in writing not to be an author and have seen the version of the paper submitted for publication.

The written acknowledgment of authorship (entitled Statement of Authorship and Location of Data) must be given to the ADPoly Director, placed on file and retained safely in the institution.

Every author must ensure that others who have contributed to the work are recognized in the research output. Where postgraduate students are to be involved in a research project, they should be provided with a written statement at the commencement of the project outlining the nature and proposed recognition of their contribution.  Where this is not possible, the statement should include a reasonable time frame within which the situation will be clarified.

All authors of a work must approve the final draft which is to be published, other than in respect of trivial corrections made since the last draft was approved.

In the event of a dispute about authorship, or conflict between authors, the advice of an adviser on Integrity in Research may be sought. If this fails to bring about a resolution of the matter, the institution's grievance procedures must be invoked.

### *12.6.9.3    Disseminating of Research Findings*
The policies and procedures below take effect subject to any contractual arrangements which apply to a particular project.  In the event of apparent inconsistency between the terms of a contract and anything contained below, the researcher must seek advice from the ADPoly Director.

A researcher must disclose similar or duplicate publishing of the same or similar data except where there is full cross-referencing between the papers, or where a complete work grew out of a preliminary publication and this is fully acknowledged.

The researcher must ensure that he or she is familiar with the terms of the institution's policy on Intellectual Property. In any case where the institution might have a claim to intellectual property in the research findings, or where commercial exploitation by the institution might be jeopardized by their disclosure in public, research findings should not be disclosed without the prior written approval of the appropriate officer.

In all other cases, and assuming there is no contractual arrangement to the contrary, as a general principle, research findings should not be disclosed to the public media before they have been reported to:

- ADPoly Director and Head of Division; or

- A research audience of experts in the field of research - preferably by publication in a peer-reviewed journal or presentation at a recognized scholarly conference, or presentation at a recognized public performance.

Where issues of public policy and concern make prior advice of research findings to a public or professional authority desirable, such advice must be tendered to the responsible authorities before reporting to the media, and the unreported status of the findings must be advised at the same time. Only where the responsible authorities fail to act within a reasonable time can reporting to the media be justified, and the unpublished status of the findings must be disclosed to the media at the same time.

If there is any reporting to prospective financial supporters of research that has not yet been submitted for peer review scrutiny, the researcher must explain in detail the standing of the research and the peer-review mechanisms to which it will be subjected.

Each publication must include information on the sources of financial support (including institutional infrastructure) for the research. Financial sponsorship that carries an embargo on the naming of a sponsor should be avoided.

Individuals and organizations providing facilities should be acknowledged in each publication out of courtesy.

With reference to research, it is essential that all applications for grants, or publishing, (either in preparation, submission or accepted submissions), or for conferring honors or awards be accurate. Providing misleading information or omitting relevant information, either deliberately or recklessly in a resume, financial applications, employment applications or making public statements, is a form of research misconduct.

All practical steps must be taken to ensure that publications and public statements about information on research work or performance are comprehensive, exact and explicit.

### 12.6.10    Supervision, Training and Mentoring of New Researchers

It is the responsibility of the institution and head of division/program to ensure that there are training and development provisions to enable faculty to gain the necessary research skills for current roles, career development and to support student research aspirations and skills development.

It is the responsibility of the institution and head of division/program to ensure that there is a specific, responsible, and appropriately qualified supervisor of each new researcher in the institution.

The head of division/program has to ensure that new researchers undergo mentoring from an experience researcher.

The head of division/program has the responsibility to keep the ratio of supervisors to researchers sufficiently low enough to permit effective intelligent academic communication and continuous effective oversight over research.

Each new researcher should be provided with all written material on applicable government and institutional guidelines for the conduct of research, including those covering ethical requirements for studies on human or animal, those requirements relating to confidentiality, and occupational health and safety matters.

Supervisors should provide guidance in all matters of good research practice.

The supervisor must ensure, as far as reasonably possible, the validity of research data obtained by a new researcher under her or his supervision.

### 12.6.11    Disclosure of Conflicts of Interest

Actual and potential conflicts of interest can arise in many different research contexts in the institution, for example when providing an assessor's report on a grant application, sitting on a committee which decides grant applications or the allocation of scholarships, supervising a student's research, or when commenting on the quality or volume of another person's research.

All staff should be sensitive to the possibility of conflicts of interest and avoid both the actuality and the perception of them by declining to act or by withdrawing from a situation where these might arise.  In any case of doubt, the fullest disclosure should be made to the relevant responsible person (such as the chair of a committee) before any participation takes place. Advice may also be obtained from the ADPoly Director.

Researchers must disclose any conflict of interest which could or had already influenced the research, its explanation of the data or the means of publication if they are seeking funding or support for the project or presenting papers for publication or communicating the results publicly.

Where a researcher is affiliated with, or has a financial involvement with, an organization or entity with a direct interest in the subject matter or findings of the research, full details must be disclosed to the ADPoly Director at the earliest opportunity.  In cases of any doubt, the researcher should err on the side of caution and make full disclosure to the ADPoly Director indicating all situations where the conflict of interest may affect or be perceived to affect decisions concerning other individuals. The Director is obliged to personally receive and/or respond to this information.

Actions provoking the responsibilities above include cases in which the organization or entity is funding the project, or by giving indirect benefits like providing materials or facilities, or paying for the researcher's travel or accommodation costs.

### 12.6.12    Advisers on Research Integrity

The ADPoly Director shall appoint at least two members from the institution as Advisers on Integrity in Research, one of whom may be herself or himself.  Any appointment must be specific to the person and not made contingent upon her or him holding a particular office.

The ADPoly Director may only appoint a faculty member who is:

- familiar with the contents of this document
- has the appropriate degree of experience in research
- has the appropriate personal and other quality to carry out the duties involved.

Where circumstances permit, the ADPoly Director should aim to ensure that the Advisers on Integrity in Research are drawn from the main discipline areas reflected in the institution and, if applicable, the cross-campus nature of ADPoly's activities.

Advisers on Integrity in Research share with the ADPoly Director the responsibility of ensuring that the contents of this document are known by all staff who carries out research or whose duties relate to research matters in the institution.  In addition to responsibilities in connection with actual or possible research misconduct, Advisers on Integrity in Research have the responsibility to give advice on integrity in research at the request of members of the institution and also to provide advice when circumstances come to their notice which may call for the giving of advice.

Advisers on Integrity in Research should make themselves familiar with the research taking place in the institution for the purpose of assisting them in carrying out their duties.

## 12.6.13    Research Information and Consent Forms

It is contingent for any subject participating in research to give voluntary informed consent. The participant should receive a research information handout which must provide an overview of informed consent and its importance, the required essentials of consent, the consenting process, as well as the documenting consent form.  This informed consent and the consenting process is affords protection and respect for research subjects. ADPoly resources for informed consent information including: research summary, forms, templates, guidance, and contact information of the researchers and personnel involved in any research that involve human subjects.

According to the instruction of the Research Ethics Committee, researchers at ADPoly or invited researchers at ADPoly must acquire informed consent of all participants in human subjects' research before they can register those individuals for the study. The individual's consent must be voluntary and based upon adequate knowledge of the purpose, procedures, risks, and potential benefits of a research study.  All potential participants should also be informed of their right to abstain from participation or to withdraw consent to participate at any time without reprisal.  After ensuring that a person has understood the information, the researcher should then obtain the person's consent, preferably in writing.  If consent cannot be obtained in writing, the non-written consent must be formally documented and witnessed.

In cases where individuals are unable to provide consent, either because they are minors or because they are physically or mentally incapable of making informed decisions, researchers are required to obtain "assent" or agreement to participate in a study from the individual. No individual should be enrolled in a study if they do not want to participate, even in cases where their legal guardian consents to their participation. Where possible, it is essential to document an individual's assent and an assent form should be used.

The regulations for the protection of human subjects at ADPoly whenever human subjects participate in a research study, provide that every subject be given and understand sufficient material and information in order to be able to give true, voluntary and informed consent.  Such information should provide the purpose, procedures involved in the research, all probable risks and discomforts or distresses (either physical, mental, economic, social or inconvenience) to the subject. Other information includes any substitutes to participation, the research benefits to society and possibly to the individual human subject, the time-frame of participation. Participants must have details for the person to contact for answers to questions or in the event of a research-related injury or emergency.  Participants must be aware and understand that participation is voluntary and refusal to participate will not incur any consequences or any loss of benefits that they are entitled to, as well as the right to confidentiality, the right to totally withdraw from the study at any time without any consequences. This information must be given to them in writing

## 12.6.14    Research Misconduct

### 12.6.14.1    General

The provisions in this policy, dealing with research misconduct, are not intended to exclude anything in the institution's policies on Academic Misconduct. They are intended to deal with research matters not covered by the ADPoly policy and to supplement them where appropriate.

The procedures outlined below may be modified appropriately where necessary to avoid any actual or possible conflict of interest in the handling of a complaint about research misconduct. For the purposes of this document, "Research Misconduct" includes fabrication, falsification,

plagiarism, or other practices that seriously deviate from those that are commonly accepted within the scientific or research community for proposing, conducting, or reporting research. It does not include honest errors or honest differences in interpretation or judgments of data.

Research misconduct includes, but is not limited to misappropriation, interference and misrepresentation.

*Misappropriation*:  A researcher or reviewer shall not:

- Submit or present published documents, thoughts or concepts of other individuals, intentionally or irresponsibly plagiarize, without attributing it to the original authors, and thus purporting it as his/hers own for the purposes of   a grant application with the knowledge that such disclosure is confidential.
- Intentionally omit reference to the relevant published work of others for the purpose of inferring personal discovery of new information.

*Interference*:  An investigator shall not deliberately and without permission remove or confiscate or substantially impair any research-related property of another, including without limitation,  any facilities, software or hardware or any IT objects, any materials or components used in the research or anything the project researcher needs or requires for the continuation of the research.

*Misrepresentation*:  A researcher or reviewer shall not with intent to deceive, or in reckless disregard for the truth, declare or submit material of substantial untruth or ignore important facts such that information published appears to be either complete or a material or significant falsehood.

### 12.6.14.2    *Research Misconduct Procedures*

Procedures in respect of possible research misconduct may be initiated following a complaint to an Adviser on Integrity in Research or on the initiative of an Adviser on Integrity in Research.

On receipt of a complaint, an Adviser on Integrity in Research who is not the Head of Division must inform the Head of Division unless, after discussion between the Adviser and the complainant, they both agree that the matter should go no further.

Thereafter, the Head of Division must conduct a preliminary of the matter personally or appoint an Adviser on Integrity in Research to do so.  A preliminary investigation should be limited to determining whether a case exists that research misconduct may have occurred.

As soon as practicable after the commencement of a preliminary investigation, the investigator must provide to the person or persons under investigation a written statement describing the allegations against him/her.  A reasonable time, which shall not be less than 5 working days, must be allowed to enable the recipient to provide a written response.  The investigator must inform the recipient of the time for a written response.

Any inquiries made during the period of preliminary investigation shall be carried out as discreetly as possible in the circumstances.

Within a reasonable time of receiving the written response or the expiry of the time stipulated for the receipt of a written response (whichever is the earlier), the investigator must decide whether a case exists that research misconduct may have occurred.

If the investigator decides that such a case does exist, the investigator must immediately inform the Head of Program or Head of Division (HOD), if applicable.

The HOD must then decide whether the matter is covered by procedures in the existing ADPoly policy on Academic Misconduct and, if so, ensure that further action is commenced in line with

the policy. In all other cases, the HOD must commence a formal investigation by constituting a Committee of Inquiry of at least three persons, which may include himself or herself, to inquire into the matter and recommend any appropriate action to the institution.

The Committee of Inquiry may contain members who are internal to the institution or external, or a mixture of both.  They are to be chosen because of their expertise and other qualities relevant to the investigation.

The HOD, upon or after receiving the investigator's opinion that a case exists that research misconduct may have occurred, may decide to advise, in confidence, the secretary of any funding agency currently supporting the research by the person under investigation and in respect of which the allegations arise, but only on the understanding that the agency will not terminate its support on the basis only of the investigator's opinion.

The Committee of Inquiry must comply with principles of natural justice. The standard of proof shall be the balance of probabilities but taking into account the principle that the more serious the allegations or the consequences flowing from them, then the more demanding are the evidentiary requirements.

In the event that the person under investigation has left the service of the institution, the Committee of Inquiry may decide to continue its investigation even though but it may not come to the conclusion that research misconduct has taken place if that would breach the requirements of natural justice or the requisite standard of proof.

If research misconduct is found to have occurred, the HOD must report the decision to the secretary of any funding agency which is supporting or has supported the research in question insofar as it relates to that researcher's contribution to the project. The HOD may also report the decision to journals and other media through which the research was reported.

During the preliminary investigation and any formal investigation of an allegation of research misconduct, those charged with investigating the matter must act in a manner which protects the interests of those who in good faith have made allegations or provided evidence in respect of them, and others affected by the allegations.

## 12.17    Community Engagement Policy.

Globally there is a realisation that institutions of higher learning should engage more closely with the communities within which they are situated.

ADPoly's mission and vision undertakes to ensure that teaching and research excellence is at the service not only of its students and scholars but the wider community. ADPoly commits itself in its mission statement, to the "advancement of knowledge that is socially and ethically relevant, and applying that knowledge to the scientific, technological and social-economic development of our nation and the wider world".

ADPoly views a community in its broadest sense by ensuring local relevance. Therefore, service, partnerships or any form of engagement with stakeholders other than internal university stakeholders will be considered to be community engagement. Global and local interactions will, therefore, be taken to be community interactions. This is based on the fact that knowledge production, generation, application and dissemination for a university, has to have universal dimensions.

### 12.17.1    Definitions

For the purposes of this Policy, the following definition of terms shall be applicable

a) **Community:** A community in the context of this policy is any group or organization of people outside the internal university stakeholders. It may be the immediate community around the locality of the university or local municipality, district, province, the country, continent or wider world as reflected in our mission statement.

b) **Community Engagement:** Community engagement at ADPOLY refers to all negotiated and dynamic partnerships between the university and the community it serves, which is practiced through varied initiatives focused on the interlace of research, teaching and learning aimed at addressing the social, cultural and economic development objectives of society.

c) **Community Partnerships:** These are mutually beneficial university-community relationships where each partner enters on an equal basis and the interaction is guided by institutional choice and strategy together with community developmental imperatives.

d) **An Integrated Model for Community Engagement:** As a core function of teaching and learning and research, this model designates that the three core functions are as much as possible interrelated and interdependent, each one feeding into the other. However, this will not be mechanically followed and there will be a flexible dynamic approach especially in the early phases of implementing the policy.

### 12.17.2    Community Engagement Activities

a) **Volunteerism:** This refers to essentially altruistic engagement of students and staff in activities primarily benefiting the recipient community, with service provision as the primary goal. This includes extra-curricular activities for which no academic or other credit is received.

b) **Community outreach:** This type of engagement is primarily focused on benefiting the community through delivering a particular service, but is generally initiated from within

the institution, department or faculty and linked to a form of recognition, such as academic credit or research.

c) **Internships:** Internships engage students in activities where the student is the primary beneficiary and the goal is on student learning. Internships provide practical experience for students in their area of study; assists with achieving learning outcomes; and provide vocational experience. Internships are generally fully integrated with the student's curriculum and are used extensively in professional programs such as Social Work, Medicine, Education and Psychology.

d) **Co-operative education:** Co-operative education programs have the student as the primary beneficiary and student learning as the primary goal. These programs provide students with curricular opportunities related to their field of study, which are integrated with the curriculum to some extent. These programs are generally placements within industry during the course of completion of a part of a curriculum.

e) **Service learning:** Service-learning engages students in activities where both the community and student are the primary beneficiaries. Herein the primary goals are to provide services to the community and equally to enhance student learning through the rendering of these services. Reciprocity is a central characteristic of this type of learning and an emphasis is placed on integrating community service with scholarly activities; i.e. research teaching and learning. This form of community engagement is also referred to as 'academic service learning'; academic community service' and 'community based learning'.

### 12.17.3    Policy Objectives

The Community Engagement Policy of ADPOLY has the following objectives:

a) To integrate community engagement with teaching-learning and research as a key core function in knowledge production, generation, application and dissemination at ADPOLY;
b) To ensure even and consistent application of community engagement in the university;
c) To ensure the identification and development of measurable performance outcomes for ADPOLY community engagement.

### 12.17.4    Policy Principles

In relation to the policy objectives stated above, the following guiding principles are expressed:

**Objective (1):** To integrate community engagement with teaching and learning; and research as a key core function in knowledge production, generation and dissemination at ADPOLY:

a) the promotion of integration of community engagement activities in all teaching-learning and research in all faculties of the ADPOLY;
b) the development and establishment of sustainable and co-operative partnerships with communities that emphasizes the reciprocal benefits and development of both parties;
c) the sustainable allocation of resources for the delivery of quality community engagement as a core function within ADPOLY.

**Objective (2):** To ensure even and consistent application of community engagement in the university:

a) The ADPOLY commitment to CE is reflected in the strategic planning, policies and procedures at all levels within the management;
b) Community engagement is coordinated and facilitated through a central management structure from the office of a Director to all academic and support service levels of ADPOLY;
c) All community engagement activities are registered on a central institutional database managed by the coordinating structure mentioned above;
d) Institutional support is made available for the development and implementation of knowledge production, application and dissemination through community engagement.

**Objective (3):** To ensure the identification and development of measurable performance outcomes for ADPoly community engagement:

a) Performance management criteria for community engagement is developed and included in all relevant HR policies;
b) The impact and output of community service is monitored and evaluated;
c) Community engagement activities are reviewed regularly.

## 12.17.5    Office of Accountability

The accountability for this policy will lie with the Abu Dhabi Polytechnic Director. The various committees will assist him in performing this function.

# SECTION 13 - STUDENT POLICY & PROCEDURES

## 13.1    Admission Policy

The Abu Dhabi Polytechnic offers higher diploma programme that treats all students equally and aspires to have international recognition for all of its technology programme specializations.

### Admission Requirements

### *Regular Admission*

A student who has completed the Secondary School education and has the official transcript may apply. Applications for admission to the first and third semesters should be received two weeks before the beginning of that semester. An offer of admission is only valid for the semester for which a student applies. If the student is offered an admission but unable to register, the applicant may request in writing to postpone the admission for the next admission cycle. Admission consideration shall depend upon availability of seats and course offering.

### *Admission Requirements:*

- Science stream students an overall average above 70%.
- IELTS Academic band 5.0 or equivalent and a successful test and interview in English.
- Applicant to be holding UAE nationality.
- Sponsorship from an official industrial organization.
- Passing the admission interview

### *Foundation programme*

This 2 or 4 semesters programme provide students with foundation level competency in English, Science and Mathematics using an English medium curriculum to prepare them to get an Academic IELTS (band 5.0)

### *Admission Requirements for Foundation Programme:*

- Science stream students an overall average above 70%.
- IELTS Academic bands 4.0 or equivalent and a successful test and interview in English.

### *General Documents required for the Abu Dhabi Polytechnic:*

- A complete admission form
- An official Secondary School Certificate Certified by the Ministry of Education.
- Original Secondary School Certificate (if it's from abroad)
- Certificate equivalency from Ministry of Education for non-UAE Secondary School Certificates.
- Photocopy of the applicants' passport.

- Test of English (TOEFL or ILETS).
- A copy of UAE nationality.
- A medical fitness certificate
- Six recent color photographs
- Any other diplomas, transcripts or documents.

## *Students holding a Foreign Secondary Certificate*

Applicants should obtain a high school certificate awarded based on 12 years of study and accredited by ministry of education.

## Responsibilities of students

The responsibility for academic success rests with the student and includes but is not limited to the following:

- Reading the catalogue in order to be aware of the Abu Dhabi Polytechnic's academic policies, regulations and deadlines.
- Meeting regularly with the counselor in their programme.
- Understanding academic performance standards for the Abu Dhabi Polytechnic and their major.
- Understanding requirements to maintain good standing and the consequences for failure in doing so.
- Retaining copies of advising material and bringing relevant material to their advising sessions
- Entering freshmen are required to meet with an advisor during orientation to plan and enroll in appropriate courses for their first semester.

## Responsibilities of the programme coordinator/counselor

The responsibilities of the career advising coordinator include, but are not limited to the following:

- Establishing advising goals which will guide the Abu Dhabi Polytechnic's advising efforts.
- Developing an academic advising plan which specifies and informs students of their responsibilities as well as the Abu Dhabi Polytechnic resources available for their use.
- Coordinating orientation and general advising with academic departments.
- Developing and managing the Abu Dhabi Polytechnic's orientation programme including mandatory freshmen orientation for students and their parents.
- To assist students in resolving problems affecting their progress toward a Higher Diploma.
- To assist students in achieving their educational ,career, and personal goals

## 13.2      Student Administration Policy

**Description of the Policy:**

This policy specifies the way in which the Abu Dhabi Polytechnic will administer students' enrolments in all the programmes of the Abu Dhabi Polytechnic.

**Scope**

The following policy applies to students in all the programmes of the Abu Dhabi Polytechnic.

Definitions

The Course leader/faculty is the academic staff member so designated by the Head of Department who is responsible for the course. (See "Role of Course leader").

**Enrolment Status**

A student is a person who has an active enrolment status in a Programme of the Abu Dhabi Polytechnic. To have an active enrolment status, the student shall have:

- accepted an offer of admission to a programme and shall have completed the enrolment procedures prescribed by the Abu Dhabi Polytechnic;
- paid such fees and charges as the Abu Dhabi Polytechnic may require to be paid as a condition of enrolment;
- completed any other procedures which may be required as a condition of enrolment.

**Due Date for Enrolment**

Students are required to enroll by the due date as specified in the offer of admission or readmission or as specified in the academic calendar as the due date for enrolment each semester.

**Continuity of Enrolment**

A student is deemed to be currently enrolled from the date on which the student has completed the enrolment requirements until the first day of the next semester, unless:

- the student notifies the Abu Dhabi Polytechnic that he/she is discontinuing enrolment or seeking leave of absence;
- the student withdraws from all courses in a semester and has no course enrolments in a future semester, in which case the student's enrolment is deemed to have been discontinued;
- the student fails to enroll in courses for a semester by the last date to add courses, in which case the student's enrolment is deemed to have been discontinued;
- the Abu Dhabi Polytechnic terminates the student's enrolment or excludes the student in accordance with the provisions of this or other policies of the Abu Dhabi Polytechnic;
- The student has completed all requirements of a programme and is eligible to graduate.

**Mailing Address, Communication between the Student and the Abu Dhabi Polytechnic**

A student is required to provide a reliable mailing address for correspondence with the Abu Dhabi Polytechnic. Students are responsible for ensuring that the mailing address held in the Abu Dhabi Polytechnic's Student System is the correct and current mailing address for them.

## 13.3    Academic Standing, Progression, and Exclusion

**Introduction**

This policy applies to all students undertaking diploma studies. The policy comes into effect once a student has undertaken at least 10 weeks of study at diploma level.

In order to be deemed to be in good academic standing, a student undertaking diploma studies must achieve a grade of at least 50% in all units taken, however, a student may be allowed to carry TWO referred units forward to the next examination period subject to confirmation by the Assessment Committee.

For the purpose of determining academic standing, the referred units are cumulative across all study in all semesters at the one academic level so that should a student have two or more referrals at, diploma level at the end of the academic year, he/she would not be allowed to progress into the next academic year until that referral has been successfully addressed.

**Academic Standing of Probation**

An undergraduate student who refers in TWO units will be placed on probation for the following semester.

A student who is placed on probation is advised to seek assistance in order to improve their academic performance.  Sources of assistance include the Abu Dhabi Polytechnic's Learning Resource Center staff, the Counseling Service and the academic staff responsible for the programme and courses that the student is undertaking.

**Academic Standing of Excluded**

A student is eligible for exclusion if the student:

- has two outstanding referrals at the end of the rest period at the end of the academic year; or
- has previously had at least one period of probation in their current academic career.

Notwithstanding the above provisions, if the student has passed all courses in the most recent semester, the student will not be excluded but will be placed on a further period of probation.

A student may be eligible for exclusion on the basis of failure in one or more designated courses. The designated courses are required to be specified in the programme requirements and advised to students.

At the end of each semester, the course leader will review all students who are eligible for exclusion.  The course leader may recommend to the Senior Section Coordinator and then the Chief Academic Officer that a student eligible for exclusion should not be excluded where the course leader is of the view that exceptional or compassionate circumstances have been the cause of the student's poor academic performance.

The Chief Academic Officer shall advise the Section coordinator Curriculum & Assessment of all students who are to be excluded from further study on the aforementioned basis and taking into account the recommendations of the course leader. Where a student is eligible for exclusion, but is permitted to continue study, the student has an academic status of probation for the following semester and may be required to undertake a specified programme of study.

A student who is excluded is not permitted to attend classes or undertake study in the programme from which they were excluded or in any other programme or to take study on a non-award basis within the Abu Dhabi Polytechnic.

## Appeal against Exclusion

A student who is excluded may lodge an appeal against exclusion. Under the Policy on Student Grievances and Appeals, the appeal must be in writing and be lodged with the Section coordinator Curriculum & Assessment and must set out the grounds of the appeal, and be accompanied by supporting documentation where relevant. The appeal must be lodged by the date specified in the notification of exclusion in order for the student to continue to study in the next semester in the event of a successful appeal.

The student will be given the opportunity to present his/her case with the Chief Academic Officer and the Senior Section Coordinator; if the student is still dissatisfied the student can lodge an appeal with the Abu Dhabi Polytechnic Appeals Committee. The appeal may be lodged after the specified date up to six months from the date of the exclusion notification, in which case, if the appeal is successful, the student will have necessarily been prevented from studying for at least one semester.

## Re-admission following Exclusion

A student who is excluded may apply for re-admission to the programme from which they were excluded or for admission into a new programme, providing that at least two standard semesters have elapsed since the exclusion. An application for readmission following exclusion or for admission to a new programme is not automatically approved.

An application for readmission, following exclusion, or for admission into a new programme will be assessed by the Senior Section Coordinator on the advice of the course leader. The Senior Section Coordinator will consider factors such as changed circumstances, academic and/or vocational performance since exclusion, maturity and motivation in order to be satisfied that the person concerned has a reasonable chance of success in the programme. All recommendations are to be approved by the Chief Academic Officer.

A student who has been excluded may not recommence study until at least two standard semesters have elapsed since exclusion was imposed.

An application for readmission or for admission into a new programme should be made at least three months prior to the commencement of the semester in which the student seeks to resume study.

Where an application for readmission following exclusion is not approved, the student may lodge an appeal. Under the Policy on Student Grievances and Appeals, such an appeal is treated as an appeal against an admission decision.

## Warning to Students at Risk

The Abu Dhabi Polytechnic may provide a warning to students whose performance in a semester is such that, their performance is at a level inappropriate to good academic standing, the student is at risk of being given an academic standing of probation or excluded if their academic performance fails to improve. The record of the warning is not reported in the student's official academic transcript.

### 13.4 Study Programme

**Nomenclature and Definitions**

*Programme*

A programme is an approved course of study leading to an award of the Abu Dhabi Polytechnic. A student is admitted to a programme, undertakes study while enrolled in that programme, and on successful completion of all programme requirements is awarded the qualification to which the programme relates.

*Course*   A course is a unit of academic work, normally undertaken over a single semester, in which the student enrolls and on completion of which the student is awarded a grade (such grades appearing on a student's academic record).

*Census date*   The census date for a course is the effective enrolment date and charges liability date for the course (see section 13.7.2).

**Nomination of Study Programme**

A student must nominate a study programme for each semester by enrolling in each course which the student intends to undertake in the semester. The study programme must conform to the requirements of the programme to which the student has been admitted, and must satisfy the enrolment requirements for each course as specified in the **Course Catalogue**.

A student is not permitted to attend classes, access teaching materials or engage in the teaching activities of the course unless enrolled in that course. It is the student's responsibility to check that they are enrolled in each course that they are undertaking. Students are able to check their study programme, add and drop courses and select the appropriate course offering by means of the Abu Dhabi Polytechnic's Website.

### 13.5 Student Charter

**Description of the Policy**

This policy sets out the Abu Dhabi Polytechnic's and its students' expectations and responsibilities towards each other in the Abu Dhabi Polytechnic context.

**Student Charter**

The Abu Dhabi Polytechnic is committed to offering a high quality educational experience to all of its students.  Students should expect high standards of professionalism and customer service from all staff and should complain if those standards are not met. Students also have responsibilities and must make every effort to be fully informed about their studies and other Abu Dhabi Polytechnic activities.  All students should familiarize themselves with the following 'rights and responsibilities' and use the Complaints Procedures in case of dissatisfaction.

**When you apply to the Abu Dhabi Polytechnic**

*You can expect:*

- to gain information on courses and other services from prospectuses, the website and visits to the Abu Dhabi Polytechnic Open Days;

- to receive a timely response to applications and requests for further information.

*You are expected to:*

- avail yourself of all possibilities to get to know the Abu Dhabi Polytechnic;
- provide all information requested on the application form and meet deadlines.

## If you are accepted to study at the Abu Dhabi Polytechnic

*You can expect:*

- clear and timely information about arrival;
- efficient registration;
- helpful induction.

*You are expected to:*

- bring all information requested for registration;
- check your own registration form;
- pay all fees on time.

## Once you are registered

*You can expect:*

- clear information on module choice and other requirements for your programme of study, including assessment;
- information on your timetable and examination dates and times.

*You are expected to:*

- be familiar with regulations, handbooks and sources of information;
- attend all timetabled classes and examinations;
- pay all fees due in full and in a timely fashion.

## When studying at the Abu Dhabi Polytechnic

*You can expect:*

- high quality, supportive and engaging teaching and learning in a class size of no more than 24 students for theory sessions and 15 students for practical sessions;
- fair assessment and helpful timely feedback on academic work;
- reasonable access to academic, general and support staff, (via email, in person or by telephone);
- high quality careers advice.

*You are expected to:*

- attend and contribute fully to lectures, seminars, workshops and other learning opportunities;

- behave responsibly in classes and treat lecturers, other staff and fellow students with respect;

- contribute to programme and Abu Dhabi Polytechnic evaluation procedures;

- not cheat, plagiarize, fabricate or falsify data or infringe copyright;

- complete assessment requirements and meet assessment submission deadlines.

## In terms of learning resources

*You can expect:*

- teaching facilities of a high standard;

- well-stocked library with access to other information providers;

- network access including: e-mail account, internet, appropriate software.

*You are expected to:*

- treat property with respect;

- abide by the rules and regulations relating to use of libraries and learning resources;

- abide by rules and regulations relating to use of computers.

## Equal Opportunities

*You can expect:*

- the Abu Dhabi Polytechnic to have a policy and a commitment to Equal Opportunities;

- to be treated with courtesy by members of staff;

- reasonable needs to be respectfully addressed, regardless of gender, ethnicity, religion, age, background or disability;

- to be able to participate fully in the Abu Dhabi Polytechnic's activities free from harassment and discrimination;

- personal information to remain confidential and to be released only when your consent is given or when legally required, or when personal safety or the safety of others is at risk.

*You are expected to:*

- support the Abu Dhabi Polytechnic policy and its commitment to Equal Opportunities.

## Health and Safety

*You can expect:*

- the Abu Dhabi Polytechnic to have a policy on and a commitment to Health and Safety.

*You are expected to:*

- take all reasonable care for your own safety and the safety of others.

## Complaints/Appeals procedures

*You can expect:*

- clear guidelines on procedures.

*You are expected to:*

- seek early advice and follow guidance offered.

## 13.6     Student Discipline Policy

### Description

Students attending courses at the Abu Dhabi Polytechnic will be either private individuals or fee paying students from commercial companies.

### Actions Requiring Disciplinary Action

Examples of actions that may be deemed to warrant disciplinary action may include, but not limited to, the following:

- Failure to attend classes
- Lateness
- Insolence to staff and other pupils
- Continual disruption in the classroom
- Willful damage to Abu Dhabi Polytechnic or personal property
- Disobedience of legitimate instructions given by any member of Abu Dhabi Polytechnic staff
- Inappropriate dress
- Inappropriate behavior
- Smoking outside of the designated areas
- Continual lateness of project/syndicate work
- Using mobile phones in the classroom
- Taking mobile phones into an examination
- Academic Dishonesty

### Appeals Procedure

An appeal against any decision must be made, in writing, to the Abu Dhabi Polytechnic Director who will instigate the Abu Dhabi Polytechnic's procedure as laid down in the appeals procedure.

## 13.7     Academic Dishonesty Policy

### Description

It is the commitment of the Abu Dhabi Polytechnic to create a learning environment that is both ethical and honest. The Abu Dhabi Polytechnic is aware that the academic background of its students varies and their understanding of ethical principles and academic honesty. It is, therefore, necessary for students to be given clear guidelines as to what Academic Dishonesty is and the outcome of such actions.

**Terminology**

Academic dishonesty is defined by the following terms:

      i.     Plagiarism

     ii.     Cheating

    iii.     Collusion

**i.**     **Plagiarism** (see separate policy on Plagiarism)

Plagiarism is literary theft and is a serious form of cheating. It is the act of deliberately presenting the ideas, discoveries or judgments of another person as your own. To copy sentences, or even phrases, without full acknowledge, from someone else's work and therefore giving the impression that they are your own is plagiarism. Paraphrasing, restating in your own words someone else's ideas without full acknowledgement is also classed as plagiarism.

**ii.**     **Cheating**

Cheating includes:

- Communications with or copying from any other student during an examination.

- Communication during an examination with any person other than a properly authorized invigilator or another authorized member of staff.

- Introducing any written or printed material into the examination room unless expressly permitted by the Examinations Committee or course regulations.

- Introducing any electronically stored information in the examination room, unless expressly permitted by the Board of Examiners or course regulations.

- Gaining access to unauthorized material during or before an examination.

- Use of mobile technology to access the internet.

- The provision or assistance in the provision of false evidence or knowledge or understanding in examinations.

**iii.**     **Collusion**

Collusion includes:

- The collaboration, without official approval, between two or more students in the preparations and production of work which is ultimately submitted by each in an identical, or substantially similar, form and/or represented by each to be the product of his individual efforts.

- The unauthorized co-operation between a student and another person in the preparation and production of work which is presented as the student's own.

**Policy**

a. Students are required to refrain from all forms of academic dishonesty as defined and explained above.

b. The Abu Dhabi Polytechnic faculty and the counselors are responsible for ensuring that students understand their responsibilities associated with academic honesty and the disciplinary measures, which will be imposed for failing to meet these responsibilities. They are also responsible for the reporting of any academic dishonesty to their Head of Department.

c. Head of Department is responsible for any appropriate investigative and disciplinary procedures in line with Policy.

d. Any student found guilty of having committed acts of academic dishonesty will be dismissed permanently from the Abu Dhabi Polytechnic with immediate effect, with a permanent record on the student's academic record.

**Appeals Procedure**

An appeal against any decision must be made, in writing, to the Abu Dhabi Polytechnic Director who will instigate the Abu Dhabi Polytechnic's Appeals procedure.

## 13.8     Student Appeals & Complaints Policy

**General Principles**

The Student Complaints Procedure and the Academic Appeals Regulations are both based on the principles that:

- staff and Students are expected to be fair and reasonable in matters relating to appeals and complaints.

- students may consult any member of staff to discuss problems in complete confidence. Whilst a record of the discussion will be kept, this document will remain confidential and will not be disclosed to a third party without permission of the student in question. However, where a complaint is about an individual, the complaint cannot be investigated if the student does not wish the substance of the allegation to be made known to that individual.

- procedures for complaints and the regulations for academic appeals are made widely available to all students and staff;

- students who wish to complain or submit an appeal have the right to seek independent advice from the Student Affairs Section;

- students must abide by the Abu Dhabi Polytechnic's policies and procedures. They must not make complaints or submit appeals with the intent to abuse the system and they are not permitted to initiate more than one procedure simultaneously. Where cases are deemed to be an abuse of the system they will be refused and the appellant or complainant will be given an explanation as to why the application was an abuse of the process.

- complaints and academic appeals will be dealt with as promptly as is reasonable given the need to bring together all necessary information. Where appeals or complaints are upheld, remedies will be implemented with reasonable expedition.

- staff and students will be expected to adhere to stated deadlines. Failure on the part of the student to adhere to deadlines could result in a decision that an appeal or complaint is not considered.

- an informal resolution of the problem at department level will be attempted wherever possible.

- evidence submitted in appeals and complaints must normally be paper based.

- students have the right of recourse to a formal investigation where the matter cannot be resolved informally.

- formal complaints and academic appeals will be investigated impartially by a section coordinator from outside the department from which the appeal arose. Members of staff must not investigate any matter in which they have a material interest or in which any potential conflict of interest might arise.

- students who complain or appeal may do so without fear or recrimination. In the case of appeals against assessment or classification, the outcome will not jeopardize the student's current assessment position.

- at the formal stage of both procedures, students have the right to receive a reasoned, written response from the Appeal Board, after all investigations and deliberations have been exhausted.

- an annual evaluation on complaints and appeals is carried out as part of the audit process.

- anonymous complaints are not normally considered.

- staff dealing with complaints or appeals must ensure that information is only disclosed to third parties on a need to know basis and that normally no information is disclosed to anyone from outside the Abu Dhabi Polytechnic, including the student's military unit or commercial company, without express permission from the student. The Abu Dhabi Polytechnic will be unable to take action on any complaint, if the substance of the complaint is being withheld at the student's request.

- it is only in exceptional circumstances that the Abu Dhabi Polytechnic will investigate or take action in a complaint beyond the wishes of the complainant.

- any member of staff named in a written complaint should be made aware of the complaint, normally by their Senior Section Coordinator. They should expect the complaint to be handled with discretion and confidentiality to be maintained. If the name of another student is cited in a complaint, confidentiality must be preserved whilst the member of staff investigating the complaint ascertains whether that student named is also party to the complaint.

## Appeals

Appeals within the Abu Dhabi Polytechnic can be defined as follows:

- Academic Appeals
- Disciplinary Appeals

## Complaints

The complaints procedure should be used by all students for complaints about their supervision, teaching or assessments. General complaints or comments in respect of the day-to-day running of the Abu Dhabi Polytechnic should be directed, in the first instance, to the Course leader through the teacher.

## Academic Appeal

The purpose for an Academic appeal is to allow students to apply for a reconsideration of a recommended grade for any module or diploma classification or examination.

## Disciplinary Appeal

A Disciplinary appeal is to allow students to appeal, on specified grounds, against a decision of either the Academic Disciplinary Committee or the Operational Disciplinary Committee.

## Complaint

A complaint is an expression of dissatisfaction requiring a response.

## Grounds for an Appeal

### Academic Appeal

A student who intends to appeal against an Academic decision must do so, in writing using the Appeal pro forma, at Annex A to this document, to the Abu Dhabi Polytechnic Director within 14 days from the original decision.

The student may appeal on the following grounds:

- That the appellant was adversely affected by illness or other relevant factors of which he was previously unaware or which for a valid reason, he was unable to disclose to the decision-making body before the decision in question was made; and that there is reasonable doubt as to whether the decision making body would have reached the same decision had this information been known;

- That in the case of a decision by a Board of Examiners that there was a material defect in the assessment process; or

- That in the case of other academic decisions there was a material defect in the administration of the procedure.

Appeals on other grounds shall be deemed inadmissible.

### Disciplinary Appeal

A student who intends to appeal against a decision made by the Disciplinary Committee must do so, in writing using the correct Appeal Pro-forma, at Annex C to this document, to the Abu Dhabi Polytechnic Director within 14 days from the original decision.

A student who appeals should be aware that complete confidentiality cannot always be guaranteed if effective action is to be carried out. Therefore, the Appeal Pro-forma contains a

disclaimer form the appellant, authorizing the investigating authority to consult others and share information on a need to know basis.

The student may appeal on the grounds that:

- There was a material procedural irregularity which rendered the process leading to the original decision unfair;

- That the penalty imposed was too severe as being disproportionate to the charge; or

- That material of which the student could not reasonably have been expected to be aware at the time of the original decision casts substantial doubt upon the correctness of that decision.

- Appeals on other grounds shall be deemed as inadmissible.

## Appeals Board

The Abu Dhabi Polytechnic Director will determine the nature of the appeal and arrange the board to consider the appeal. Appeal Boards members will be as follows;

Chair:      Abu Dhabi Polytechnic Director

Members:    Chief Academic Officer

Head of Department

Senior HR Officer

Decisions reached by the Appeal Board will be communicated to the appellant, in writing, within seven days of the board being held.

Should the appellant feel dissatisfied with the appropriate action being taken by the Appeal Board then the case is to be forwarded to the IAT Senior Manager HR for consideration by the Director General.

## Student Complaints

The complaints procedure does not apply to student versus student complaints. Students who wish to complain about the behavior of other students should be referred to the *Respect at Work Policy*.

Students who complain should be aware that complete confidentiality cannot always be guaranteed if effective action is to be taken on a complaint. Therefore, the appeal and complaints pro-forma, at Annex D to this document, contain a disclaimer from the complainant, authorizing the investigating authority to consult others and share information on a need to know basis.

Student complaints should be resolved at department level, wherever possible, without the need to resort to formal proceedings. Therefore, staff who have contact with students should familiarize themselves with the *Students Appeals and Complaints Procedure*, to ensure that they are confident in how to implement effective solutions at local level. if, however, the problem cannot be resolved at a local level, the student may proceed to raise a formal complaint.

Where practicable, senior staff should avoid becoming involved in the early stages of a complaint or academic appeal because it may compromise their ability to be involved at a later stage.

Complaints or appeals will not normally be struck out by the Investigating Officer, because of minor deficiencies in the application.

**Annex A - Academic Appeal Pro-Forma**

| Section 1  -  Student Details |
| --- |

Date Received: _____

(Office use only)

To be completed by the person submitting an appeal.

Number: _____

Name: _____

Address for correspondence: _____

_____

_____

(We will send all correspondence to the above address)

Programme of Study: _____

Year of Study: _____

Student ID Number: _____

Examination Number (if known) _____

## Section 2 – Decision appealed against

*Please tick relevant box:*

(a)   A confirmed decision of examiners. What exactly was the decision against

which you are appealing?

<div style="border:1px solid">☐</div>

_____

_____

(b)   A decision of an Abu Dhabi Polytechnic representative on any academic matter within their responsibility, affecting you.

What exactly was the decision against which you are appealing?

☐

_____

_____

## Section 3 – Grounds for Appeal

An appeal to the Abu Dhabi Polytechnic Director must be made within fourteen (14) days of the date of the notification of the decision against which you are appealing.

Please note that under Abu Dhabi Polytechnic regulations you only appeal on the following grounds:

*Tick the Applicable box(es).* (Late appeals or appeals on any other grounds will be dismissed)

(a)   "that in the case of any academic decision; that the appellant was adversely affected by illness or other relevant factors of which he was previously unaware or which for a valid reason, he was unable to disclose to the decision-making body or officer before the decision in question was made; and that there is reasonable doubt as to whether the decision making body or officer would have reached the same decision had this information been known."   ☐

AND/OR

(b)     "that in the case of a decision of a Board of Examiners that there was a material defect in the assessment process."  ☐

AND/OR

(c)     "that in the case of other academic decisions there was a material defect in the administration of the procedure."  ☐

(Please note also that you must supply appropriate evidence to back up your grounds for appeal)

| Section 4 – Further Explanation of Grounds of Appeal |
|---|

Please provide a further explanation of your grounds for appeal. You must give information about *EVERY* ground for appeal you ticked in Section 3.

*(attach separate sheets if necessary)*

| Section 5 – Outcome Sought |
|---|

What outcome do you seek?

_____

_____

_____

_____

_____

_____

## Section 6 – Documentation Attached

I attach the following documentation with my appeal pro-forma. Please tick the relevant box.

(a)  Medical evidence  ☐

(b)  Other documentation  ☐

Please specify: _____

_____

_____

_____

(c)  Total number of sheets of papers attached: _____

## Section 7 - Declaration

I declare that to the best of my knowledge all of the information I have supplied or attached with this form is true, accurate and complete.

I give my consent for this information to be circulated to relevant members of staff on a need-to-know basis for the purpose of investigating my appeal.

Signature of Appellant:  _____

Date:  _____

**Annex B - Disciplinary Appeal Pro-Forma**

Date Received: _____

(Office use only)

To be completed by the person submitting an appeal.

Name: _____

Company: _____

Address for correspondence: _____

_____

_____

(We will send all correspondence to the above address )

Programme of Study: _____

Year of Study: _____

Student ID Number: _____

## Section 2 – Decision appealed against

*Please tick relevant box:*

(a)  A confirmed decision of examiners. What exactly was the decision against

 which you are appealing?  ☐

 _____

 _____

(b)  A decision of an Abu Dhabi Polytechnic Representative on any disciplinary matter within their responsibility, affecting you.

 What exactly was the decision against which you are appealing?  ☐

 _____

 _____

## Section 3 – Grounds for Appeal

An appeal to the Abu Dhabi Polytechnic Director must be made within fourteen (14) days of the date of the notification of the decision against which you are appealing.

Please note that under Abu Dhabi Polytechnic regulations you only appeal on the following grounds and *tick*

*Applicable box(es).* (Late appeals or appeals on any other grounds will be dismissed)

(a)  There was a material procedural irregularity which rendered the process leading

 to the original decision being unfair.  ☐

AND/OR

(b)  That the penalty imposed was too severe as being disproportionate to the charge.  ☐

AND/OR

(c)     That material of which the student could not reasonably have been expected to
        be aware at the time of the original decision casts substantial doubt upon the
        correctness of that decision

(Please note also that you must supply appropriate evidence to back up your grounds for appeal)

| Section 4 – Further Explanation of Grounds of Appeal |
| --- |

Please provide a further explanation of your grounds for appeal. You must give information about
*EVERY* ground for appeal you ticked in Section 3.
*(attach separate sheets if necessary)*

| Section 5 – Outcome Sought |
| --- |

What outcome do you seek?

_____

_____

_____

_____

_____

_____

_____

## Section 6 – Documentation Attached

I attach the following documentation with my appeal pro-forma. Please tick the relevant box.

(a)    Medical evidence          ☐

(b)    Other documentation     ☐

Please specify: _____

_____

_____

_____

(c)    Total number of sheets of papers attached: _____

## Section 7 - Declaration

I declare that to the best of my knowledge all of the information I have supplied or attached with this form is true, accurate and complete.

I give my consent for this information to be circulated to relevant members of staff on a need-to-know basis for the purpose of investigating my appeal.

Signature of Appellant:    _____

Date:                              _____

**Annex C - Complaints Pro-Forma**

| Section 1  -  Student Details |
|---|

Date Received:             _____

(Office use only)

To be completed by the person submitting the complaint.

Name:                        _____

Programme of Study:  _____

Year of Study:              _____

Student ID Number:     _____

Address for correspondence: _____

_____

_____

(We will send all correspondence to the above address)

| Section 2 – Nature of Complaint |
|---|

| |
|---|
| |

| Section 3 – Expected Outcome |
|---|

| Please indicate what action you wish to see taken to address your complaint: |
|---|

## Section 4 - Declaration

I declare that to the best of my knowledge all of the information I have supplied or attached with this form is true, accurate and complete.

I give my consent for this information to be circulated to relevant members of staff on a need-to-know basis for the purpose of investigating my appeal.

Signature of Appellant: _____

Date: _____

## 13.9      Student Activities Policy

### Description of the Policy

The policy describes the activities students are involved in and the recreational services available to students.

### *Examples of such activities can be the following*:

### Recreational Activities

The Abu Dhabi Polytechnic aims to provide recreation facilities for students which will be announced on the student notice board annually.

### National Day Celebrations

Students perform for Abu Dhabi Polytechnic personnel, family members and VIPs on National Day. They begin preparations many months in advance. Announcements calling for student to participate will be placed on the student notice board in the student affairs section with the section coordinator.

### Marketing and Recruitment

Students are important ambassadors for the Abu Dhabi Polytechnic. They are involved in open days and at study and career expos.  Preparations run all year around depending on what function is being prepared for.  Announcements calling for students to participate will be placed on the student notice board and coordinated with the concerned managers.

### Conferences

Students will be provided with opportunity to attend and assist in conferences run by the Abu Dhabi Polytechnic. Preparations begin many months in advance. Announcements calling for students to participate will be placed on the student notice board in student affairs office with the section coordinator.

### Committees

Students are able to participate in Abu Dhabi Polytechnic affairs via the Student Representative Committee. Students are introduced to the committee in orientation to the Abu Dhabi Polytechnic. Meetings are held regularly and announcements of meetings and SRC activities are placed in student notice board.

### Process:

All proposed students' activities are discussed at Student Council Committee.

Recommendations concerning student activities, creation of clubs and associations as well as budgeting are submitted to the Student Affairs Committee for approval.

The approved activities are announced to students and posted at the Abu Dhabi Polytechnic.

Follow up of activities is done primarily by the Section coordinator of Student Services.

## 13.10    Counseling Policy

### Introduction

The Abu Dhabi Polytechnic is committed to supporting and promoting all aspects of student well-being, and the counseling service is one way in which the Abu Dhabi Polytechnic seeks to enable all students to develop their full potential.

### Purpose of Policy

- To document the counseling provision at the Abu Dhabi Polytechnic for students.

- To provide guidance to students and explain the circumstances and situations where counseling may be appropriate.

- To identify and provide conditions that will facilitate the well-being and personal development of students.

- To provide counseling service as an integral support mechanism for students' learning.

- To enable individual students to be more effective in their lives within and outside the Abu Dhabi Polytechnic.

- To help students make optimum use of the choices facing them in their academic, work, social and personal lives through individual counseling and group work with other students.

### The Counseling Process

A student can approach the counselor through any staff member or by herself.

The counselor approaches the student in an non-threatening way and explains to his/her the benefit from seeing the counselor.

The student should be assured that it is normal to seek help and that counseling is confidential.

The counselor shall conduct initial sessions, give information on confidentially.

Initial sessions will be used to agree with the students the recording of statistical data, the keeping of working notes and the return of monitoring and feedback sheets.

Initial sessions will be used to make a counseling contract with the student, to allay students' fears, clarify the student's understanding of counseling, and explain counselor's method of counseling.

All forms associated with the counseling process will be securely kept and computerized and data is accessed only through the counselor and protected by a password known only to the counselor.

Counseling sessions will be conducted in a confidential and respectful manner.

Any break in confidence will be minimized by restricting information to only those people who can provide the required help.

Students will be clearly informed at the onset of the counseling contract what conditions could lead to confidentiality being broken.

In order to obtain support for students, therefore, there may be a break in confidence in the following exceptional circumstances. The student's consent will be obtained wherever possible

(and the issue explored beforehand with the students unless time/circumstances do not permit) e.g. of such situations are:

- the student gives the counselor good grounds for believing that he/she will cause serious physical harm to others or themselves;
- the counselor has reason to believe that a student is in possession of or supplying illegal drugs on Abu Dhabi Polytechnic premises;
- a student has a severe alcohol/drug problem which is interfering with his/her Abu Dhabi Polytechnic work.

## Monitoring

A report of the Counseling Service will be presented to Director annually through the Section coordinator of Student Affairs.

## Record Keeping

All counseling reports and interactions between the counselor and student are stored on the counselor's computer. No information is recorded on any central student records. The data will be kept for 3 years and disposed of in an appropriate method.

## 13.11    Records Management Policy

### Description of the Policy:

The records management policy provides an Abu Dhabi Polytechnic-wide framework for the creation, systematic capture, registration, classification, use, storage, disposal and retention of Abu Dhabi Polytechnic records in accordance with the legislative requirements, standards and best practices which are applicable to the business activities of the Abu Dhabi Polytechnic.

### What is an Abu Dhabi Polytechnic Record?

An Abu Dhabi Polytechnic record is information created, received and maintained by its staff in the course of conducting its business, regardless of its format (paper, electronic, audio-visual). The Abu Dhabi Polytechnic's business encompasses all forms of its teaching and learning, research, community service, organizational, commercial and cultural activities. All business activities are appraised to identify what records should be created and the life of those records determined in order to:

- protect the rights and interests of individuals at the Abu Dhabi Polytechnic;
- explain and justify the actions of the Abu Dhabi Polytechnic and its employees;
- document and explain the decision-making of the Abu Dhabi Polytechnic;
- provide the history of an activity;
- determine that the policies and procedures of the Abu Dhabi Polytechnic were followed during the conduct of that business.

Therefore a record must show: what occurred; when it occurred; how it occurred; what the transaction was; who participated and what was the outcome.

A document or an e-mail in a physical or electronic form created but not transmitted or submitted is not considered a record. A telephone conversation only becomes a record if a written note of that conversation is made.

## Roles and Responsibilities

All staff is personally accountable for the correct management of documents and records (including electronic records) generated in the course of their duties or under their direct control. All Abu Dhabi Polytechnic records should be protected from unauthorized access, disclosure, modification, loss or damage.

## Records Management System

The Abu Dhabi Polytechnic uses and maintains a records management system that is secure from unauthorized access, damage and misuse. The system captures and support records that are accurate, authentic, accessible, useable, retained, and preserved. The system is capable of continuous and regular operation and is managed in compliance with all requirements arising from current business processes, the regulatory environment and community expectations.

The records management system:

- routinely captures all records within the scope of the business activities of the Abu Dhabi Polytechnic;
- organizes the records in a way to reflect the business processes of the record's creator;
- protects the records from unauthorized alteration or disposition;
- routinely functions as the primary source of information about actions that are documented in the records; and
- provides ready access to all relevant records and related metadata;
- control measures, such as access monitoring, user verification, authorized destruction and security are implemented to prevent unauthorized access, destruction, alteration or removal of records.

## Access and Security

The Abu Dhabi Polytechnic is responsible for ensuring that records remain accessible to people with appropriate authority both inside and outside the Abu Dhabi Polytechnic, for the designated retention period. The Abu Dhabi Polytechnic also has in place mechanisms to safeguard privacy and confidentiality and prevent unauthorized use or access to its records.

It is the expectation of the Abu Dhabi Polytechnic that a member of staff will access only those files and records which are necessary for the proper fulfillment of the duties of that member of staff, or that they are lawfully requested to access. Staff handling sensitive classified information will be asked to acknowledge their responsibilities in writing. All staff working in the Office of Human Resource Management (HR) or dealing with students' or staff's records will sign a confidentiality agreement at the commencement of their employment.

### Freedom of Information

Every person has a legally enforceable right to obtain access to a document held by the Abu Dhabi Polytechnic, other than an exempt document. The person's right of access is not affected by any reason the person gives for seeking access.

Records containing personal information about:

- an employee or former employee of the Abu Dhabi Polytechnic that are, or have been, kept by the Abu Dhabi Polytechnic for HR management purposes
- a student or former student that are, or have been kept by the Abu Dhabi Polytechnic for student administration purposes

Are accessible to the person concerned (i.e. the subject of the record).

Members of staff and students wishing to view their own file should make application to the Office of Human Resource Management or the Manager of student services who will arrange for this to occur under their supervision.

## Technology-Dependent Records

Technology-dependent records, including electronic records, micrographic records and audio-visual records, generated or received in the course of business are public records and are created, maintained and accessible for as long as they are required to meet legislative, accountability, business and cultural obligations.

Electronic messages that are evidence of business activity are printed and filed, with appropriate contextual detail. These details include as a minimum: author, author's title and organization, receiver, receiver's title and organization, date and time of sending or receipt of message.

Business messages with limited information-only value and purely private transactions that do not provide a record of a business transaction are considered *ephemeral or non-records* and do not need to be captured into a recordkeeping system.

## Retention and Disposal of Abu Dhabi Polytechnic Records

The Abu Dhabi Polytechnic's Disposal and Retention Schedule, utilizes the Business Classification Scheme to ensure that the appropriate records are captured into the record keeping system and retained for as long as those records have value.

Temporary value records, those which have a limited active phase, will be destroyed at the conclusion of that phase .Records of enduring or archival value, deemed to have administrative, legal, and fiscal, research or historic value, will be retained for a longer term, or permanently.

The transcript records and the grades of students are kept permanently at the Abu Dhabi Polytechnic. Students Assignments are kept only for one semester if the student does not pick them up and then they are shredded.

## Archives

Archives provide a record of the corporate memory of the Abu Dhabi Polytechnic. Archives are inactive records that are deemed to have continuing value, either permanently or temporarily. A record may be considered permanent because of its evidential, fiscal, administrative, legal, informational or historic value.

## Records Storage

The Abu Dhabi Polytechnic is responsible for ensuring that records are adequately stored to prevent physical damage and minimize the physical deterioration of the records.

Records are stored in various locations both onsite and offsite depending on the level of access required for particular records.

## Disaster Management and Contingency Planning

The Abu Dhabi Polytechnic has a *Disaster Preparedness Plan* for protecting and recovering its records in the event of a disaster. The plan ensures that vital records receive the highest salvage priority and business operations are re-established as soon as possible.

## Record Types

There are four types of Abu Dhabi Polytechnic records:

- Active
- Confidential
- Vital
- Archival/Inactive.

*Confidential* records contain sensitive and/or personal information. Access to these records is restricted to certain Abu Dhabi Polytechnic employees for specified purposes and released only with the authorization of the Abu Dhabi Polytechnic Director.

*Vital* records are those records that are necessary for the continued operation of the Abu Dhabi Polytechnic. They are the core set of records containing the information required to re-establish the operations of the organization. They protect the assets and interests of the Abu Dhabi Polytechnic, and its clients. Vital records are identified as such when they are classified, placed in a secure environment, a copy placed on file, and the location of the original recorded.

Examples of vital records include: key legal agreements, contracts, memoranda of understanding, financial, and minutes of Boards and Councils. Vital records tend to be unique (that is, they cannot be acquired from external sources) and relate to specific functions of the Abu Dhabi Polytechnic.

*Archival* records are those that are no longer in active use and which have been selected for permanent preservation on the basis of their historical, legal, administrative, and financial value.

## File Types

The Abu Dhabi Polytechnic uses three file types:

- general
- staff
- Student.

*General Files* include administrative and policy records that are created received or maintained by employees of the Abu Dhabi Polytechnic and its affiliated organizations in carrying out its functions, processes, activities and transactions. They include:

- acts
- agendas and minutes of meetings of formally established Abu Dhabi Polytechnic committees and boards
- decisions taken by employees under delegation which are recorded in memoranda, letters, email messages, reports, etc.
- ethical clearance
- financial transactions
- intellectual property

- policy and procedures
- programme information
- records of outsourcing
- research grants.

*Staff Files* include records that are used for human resource management purposes, including the evidence and supporting documentation regarding the employment status of staff and the terms and conditions of employment and activities that occur whilst the staff member remains employed by the Abu Dhabi Polytechnic, are captured and maintained as Staff Files. (See the checklist for staff files).

*Student files* include all academic and administrative issues related to students. (See the checklist for students files)

## Audit and Review

The Abu Dhabi Polytechnic's recordkeeping management practices, systems and procedures are audited and reviewed regularly to ensure compliance with cultural, business, legislative and accountability requirements.

Audit and Review Check List (Staff Files)

|  | YES | NO | Responsible |
|---|---|---|---|
| Contract | ☐ | ☐ | HR |
| Current CV, Interview Sheet | ☐ | ☐ | HR |
| Banking and other forms required | ☐ | ☐ | HR |
| Passport copy, Visa copy for the employee and his family (family book for UAE Nationals) | ☐ | ☐ | HR |
| Security Clearance | ☐ | ☐ | HR |
| Spouse verification of benefit if the employee is married | ☐ | ☐ | HR |
| Medical fitness Certificate | ☐ | ☐ | HR |
| Attested degrees | ☐ | ☐ | HR |
| Attested Marriage Certificate if he/she married | ☐ | ☐ | HR |
| Birth certificate of children | ☐ | ☐ | HR |
| Emergency contact | ☐ | ☐ | HR |
| Professional development plan | ☐ | ☐ | SSC |
| Records relating to disciplinary actions | ☐ | ☐ | HR |
| Records of previous 3 years teaching and course evaluation | ☐ | ☐ | SSC |

Audit and Review Check List (Students Files)

|                                                   | BN | PR |
|---------------------------------------------------|----|----|
| Enrolment form                                    | ☐  | ☐  |
| Registration certificate                          |    | ☐  |
| Academic Transcript – MoE G12                     |    | ☐  |
| 4 Photos                                          | ☐  | ☐  |
| English :  IELTS  Certificate                     | ☐  | ☐  |
| TOEFL Certificate                                 | ☐  | ☐  |
| Passport copy                                     | ☐  | ☐  |
| Disciplinary file notes                           | ☐  | ☐  |
| Clinical practicum evaluation                     | ☐  |    |
| Clearance form (library, locker, etc…)            | ☐  | ☐  |
| Records of grievance and appeals                  | ☐  | ☐  |
| Medical clearance                                 | ☐  | ☐  |
| Security clearance                                | ☐  | ☐  |
| Notes relating to attendance and important issues | ☐  | ☐  |

# SECTION 14 - LIBRARY POLICIES & PROCEDURES

## 14.1    The Abu Dhabi Polytechnic Library (Learning Resource Center)

The Library of the Abu Dhabi Polytechnic is seen more as a learning resource center than a traditional library, this being reflected in the seniority of the center manager.  The center is at present in a developmental phase.

This document sets out the core policies and procedures that are either being currently implemented or in the process of implementation.

### Vision

The vision of the library is to take a leading role in the fulfilment of the Abu Dhabi Polytechnic's mission, vision and goals through

- developing education and training Programmes to equip staff and students with the skills for lifelong learning
- structuring systems and developing gateways to provide integrated, convenient and client-friendly access to resources
- developing staff to become innovative information specialists, skilled in providing exceptional service
- contributing to the development and enhancement of a knowledge based society

### Mission

The library's mission is to facilitate access to quality resources and services for excellence in research, teaching and learning by:

- Delivering a range of services and technologies to enable the retrieval of needed resources, irrespective of their format or location and
- Providing leadership and expertise in navigating an increasingly complex and diverse information environment

### 14.1.1    Evaluation Process

The Abu Dhabi Polytechnic library will evaluate its collection and services on an ongoing basis in the following ways:

- Daily statistics
- Daily statistics are to be kept to assist in the planning and management of the library.

These are to be collated on a monthly basis.

### Annual survey

An annual student survey is to be undertaken to evaluate client satisfaction.  Results will be collated and stored by library staff and a report on findings submitted to the Chief Academic Officer and the LRC Coordinator will be responsible for recommending any changes to current practice in response to survey findings.

**Ongoing Training Sections input**

The library staff welcome input for both acquisition and weeding of material. This is done on an *ad hoc* basis as well as a formal basis periodically. We also collaborate with the sections on an ongoing basis to identify material that is in high demand to ensure that our students have access to these resources.

### 14.1.2     Student requests

Students may request additions to the collection. Forms for "Requests and Recommendations" are to be made available for students and all requests will be considered.

### 14.1.3     Library hours

The Library is open for students, staff and training sections for the majority of the teaching day at the Abu Dhabi Polytechnic.

### 14.1.4     Eligibility of borrowers

The following persons are eligible users of the library and its facilities. This includes the right to borrow materials, subject to the rules set out in this policy document:

- Any person currently enrolled in a course at the Abu Dhabi Polytechnic.
- Staff members of the Abu Dhabi Polytechnic.

**Staff borrowers**

Academic Staff may borrow items from the Main Collection for one semester.

Staff members are responsible for all items they borrow and may not give borrowed materials to students or other staff.

All academic staff loans are due at the end of each semester, or on the date of the final examination for the subject they teach.

Staff who do not return materials, or who have lost or damaged material must resolve the issue with the Abu Dhabi Polytechnic Librarian. Staff loans that are not returned to the library three months past the due date will be deemed lost and the staff member will be invoiced for replacement. Staff will be billed in accordance with the charges documented in the section below called "Replacement of lost or damaged items".

**Student borrowers**

Students must present their Abu Dhabi Polytechnic ID card in order to borrow. This card is not transferable. Students are responsible for all items borrowed using their ID card, and must pay for any lost or damaged items borrowed in their name.

**Borrowing periods summary for students**

See policy on library borrowing.

## 14.2 Orientation/Educational Programmes

Identified as one of our priorities, we will strive to provide our students and training sections with information on the library and information literacy on an ongoing basis. We do this in the following ways:

The Librarians provide a brief overview of the Library for all new students attending on Orientation Day. All new students and staff are given a copy of the library brochure as part of their Abu Dhabi Polytechnic orientation pack.

Brochures will be available for users to assist them with procedures and location of materials and other general information about the library (hours, staff etc.).

Reference assistance will be provided for our users on an ongoing basis. This includes assistance with identifying appropriate material for studies/assignments and then locating this material within the library; accessing electronic resources such as our electronic database system as well as locating good information on the Internet.

Library shelving will be clearly marked with Dewey Decimal classification to assist with easy location of materials for our students.

Librarian staff will assist our users with locating information that is appropriate to their information needs.

Students are encouraged to use information in a variety of formats depending on information needs. Formats include: books, journals, newspapers, online databases, e-books, Internet resources, video cassettes, and audio cassettes.

## 14.3 Circulation of Materials (Borrowing)

Circulation of materials is a basic function of the Library. At the present time Library materials are circulated using a manual system. The Library is currently in process of selecting an Integrated Library System.

All students and staff of the Abu Dhabi Polytechnic have borrowing privileges. Items are due for return on the date shown on the date due slip.

All returning items must be handed to a staff member at the circulation desk or placed in the return chute. Returning material should not be placed on shelves.

### Renewal of loans

Borrowers may renew loans twice in addition to the original loan, provided the material is not overdue, or reserved for another user.

## 14.4 Budget

The LRC Coordinator is responsible for the administration of the budget. A monthly summary of the budget is presented to the Management Committee.

The LRC Coordinator has primary responsibility for development of the book collection. This responsibility may be delegated at the operational level to Library staff. Selection is a collaborative activity between the Abu Dhabi Polytechnic community and Library staff. All users are encouraged to submit recommendations for consideration for purchase. Forms for this purpose are available within the library.

As a priority, the Library will purchase at least 2 copies of all prescribed and recommended texts for courses taught at the Abu Dhabi Polytechnic, as described in the official Course Handbook for each subject.

The Librarians will liaise with Sections to identify and recommend material with supports teaching, research and learning.

## 14.5    Classification and Cataloguing

At the present time, the Library collection is not catalogued.  The implementation of the automated Library Management System will allow us to systematically catalogue and classify the entire collection following the Anglo-American Cataloguing Rules, using the Dewey Decimal Classification system.

Once a call number and subject headings are determined, a record will be created in the library management programme and a barcode number will be assigned to the item.

Users may use the online public access catalogue (OPACS) to search the library catalogue or may gain access from any computer with Internet access.

## 14.6    Weeding or Withdrawal of Materials from Library

Weeding or the withdrawal of materials from the Library is necessary not only because of limited space but because information in fields of study quickly becomes superseded.  Weeding happens on an ongoing basis, but in addition an annual weeding will be done in conjunction with inventory.

Materials may be removed from the library if they meet the following criteria:

Titles which are more than ten years old, unless:

- they are classics
- the Library has very little in this field.
- specialist staff have a justified reason for them to be retained.
- items that are badly damaged or worn.
- titles that have been superseded

Peer reviewed scholarly journals are retained for a period of five years.  All other category of periodicals is retained for a maximum of one calendar year.

Newspapers more than two weeks old will be discarded.

## 14.7    Donations

Donations are welcomed and encouraged.  Nonetheless, the Library will handle the donated materials according to the same criteria used for new acquisitions.  Potential donors are informed that all donated items will be treated at the professional discretion of Library staff.

Donations will be treated as new acquisitions (and as such must meet the criteria for new acquisitions).  Cataloguing of new material will be done according to policy and procedure.
A sticker is placed on or inside the item stating the donor's name and date of donation.

## 14.8    Inter-library loan and Co-operative Agreements between Libraries

While the Abu Dhabi Polytechnic Library aims to build a strong resource library for its students and training sections, it is important to have links with other institutions in order to fully support our users.

The librarians maintain contact with other academic libraries in the region through both formal and informal networks.

### 14.9 Library Current Awareness Services

- The Library aims to provide current awareness to support the information needs of staff and students at the Abu Dhabi Polytechnic.
- E-mail messages are sent to the relevant person when new books they requested have arrived and are ready to borrow.
- Each month a list of all new acquisitions is emailed to all staff. This list is also posted on the library website.
- New books are prominently displayed.
- Individual staff may be placed on email notification lists to be notified when journals relevant to their academic or research needs are received.

### 14.10 Copyright

The library abides by the fair use clause that states that 10 percent of any given work may be photocopied. With this in mind, the library does not condone the photocopying of entire works of books or journals. The library collection does not include any illegally photocopied text or journal.

## 14.11    Code of Conduct for Library Users

The document below aims to set out clearly the rights and responsibilities of all our patrons.

---

**Code of Conduct**

1. All users have a right to use the facilities of the Library without undue distraction or disturbance.

2. Within the precincts of the Library, no person shall act in a manner that interferes with the comfort or convenience of other users.

3. ADPoly identification (student) cards must be shown in response to any reasonable request from any member of staff who might require such identification in the course of their duties. Any Library user, whether or not a member of the ADPoly, shall produce identification on request from a member of Library staff.

4. It is a condition of entry into the Library that staff may inspect all bags, folders or other receptacles capable of containing Library materials and their contents.

5. No food is allowed in the library.  Drinks are allowed on the proviso that no damage is caused and all rubbish is deposited in bins provided.

6. Talking is not permitted in reading areas: quiet conversation is allowed for the purpose of seeking assistance in the use of the catalogues or the collection.

7. The reservation of seats or computers is not permitted.

8. The Library staff may remove books and other articles left unattended on chairs or tables in the Library for more than twenty minutes. Articles left in these areas at closing time will be cleared away and sent to the Student Services lost property section. The ADPoly accepts no responsibility for personal belongings left in the building.

9. No user shall deface, mutilate or destroy Library materials: in addition to any penalty that may be imposed for such conduct; the person concerned shall be liable to pay for the full cost of repair or replacement of damaged materials.

10. Users are responsible for all Library materials borrowed in their name until such time as the items are returned to the Library and deleted from the loans register. Borrowers will be charged the replacement cost of any item that is not returned.

11. Users should obey any reasonable directions of Library staff in enforcing this Code of Conduct.

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## 14.12    Code of Conduct in Learning Resource Center

**Description of this Policy:**

This policy documents the Abu Dhabi Polytechnic's policies in relation to the use of the LRC and public spaces.

Definitions:

"Space" in this context refers to common use areas managed by the LRC Coordinator.  These common areas include libraries, work rooms and computer rooms.

### Use of Libraries and other public space.

Users of the LRC facilities should behave in a manner that does not inconvenience, offend or limit the rights of other users to have access to library materials, study space, and other information technology facilities and services.

This policy applies to all categories of users, including external borrowers and casual visitors.

### Standards to be observed within Information Services public spaces

The Code of Conduct sets out the standards of behavior that members of the Abu Dhabi Polytechnic community can reasonably expect when engaged in Abu Dhabi Polytechnic activities.

Users of the LRC facilities and services expect an environment, which is conducive to study and research.  Activities that disrupt such an environment are not acceptable.  Such activities include:

- Creation of noise through loud conversations, use of mobile phones, etc.;
- Eating and drinking beverages other than water;
- Smoking;
- Theft of equipment or the property of others;
- Movement of furniture;
- Vandalism;
- Posting of notices without permission; and
- Unauthorized presence in non-public or restricted areas.

Users of the LRC facilities and services expect equitable access to equipment and facilities. Improper use or obstruction of access to such equipment and/or facilities, including the reservation of seats in study areas and the LRC, is not acceptable.  For information on the conditions of use of Information Technology facilities see a separate policy.

Staff may remove books and other articles left unattended on chairs or desks in the LRC for more than 30 minutes.

Users of library collections expect equitable and open access to these resources.  Unauthorized removal, misplacement or mutilation of library resources or retention of overdue material is not acceptable.

Users leaving the LRC may be required to present for inspection any item in their possession or any bags, cases or other material brought into the LRC.

Users are expected to provide identification to staff acting in the course of their duties where a violation of the Abu Dhabi Polytechnic policy is in question.

## Exclusion from the LRC

A person who breaches the above standards may be requested to leave the LRC.

## Imposition of Penalty relating to Conduct

In addition to exclusion from an LRC facility, a person may be penalized according to the misconduct procedures for staff.

## Appeals

Any person upon whom a penalty has been imposed may appeal against that penalty using the appeal procedures for staff.

## 14.13     Library Lending Policy

### Description of this Policy:

This document documents the Abu Dhabi Polytechnic's policies in relation to the borrowing of items from the Abu Dhabi Polytechnic's library collection.

### Definitions:

"Item" includes any book, pamphlet, periodical issue (bound or unbound), newspaper, manuscript, film, videotape, CD, DVD, microfilm, microfiche, photograph, print, slide, monograph, thesis, cassette, photocopy, sound recording, musical score, map, laptop, DVD player, musical instrument, plan or any other recorded material, regardless of physical form, under the control of the LRC Coordinator.  In the Abu Dhabi Polytechnic the terms *Library* and *Learning Resource Center* are interchangeable.

### Eligibility

The Abu Dhabi Polytechnic staff and students are registered to borrow from the Library.  An Abu Dhabi Polytechnic Student/Staff Card is also a Library card.

Staff and students of other tertiary institutions and members of the public may make application to be registered as borrowers by completing and signing a registration form undertaking to comply with Library Lending Policies, and by providing identification, proof of address and where appropriate, proof of eligibility for a particular borrower category.

(a)     Upon acceptance of an application, a Library card, identifying the holder's category as a borrower, will be issued.  Appendix 1 to this policy identifies the services and facilities available to each category of user.

(b)     Registrations must be renewed annually.  Registration may be cancelled or suspended before the expiry date for breaches of Library Lending Policies.

(c)     The LRC Coordinator or an officer authorized by the LRC Coordinator may refuse an application for registration as a user when in the judgment of the Director

or that officer, such a registration would adversely affect services to Abu Dhabi Polytechnic staff and students.

## General Conditions of Loan

The LRC Coordinator has discretionary power to lend or refuse to lend any item at any time.

The LRC Coordinator may alter the loan period of any item at any time.

No person may remove an item from the Library without a proper loan transaction having first been made.

A valid Abu Dhabi Polytechnic Student/Staff or Library card is required before any loan transaction is made.

Library cards are not transferable. In exceptional circumstances (e.g. a lecturer's research assistant or a representative of a borrower with a disability or illness) an authorized representative may borrow on a library cardholder's behalf, upon receipt of written authorization, and subject to the discretion of the LRC Coordinator.

The Library collects stores and uses borrower information for administrative purposes only. The information collected is confidential and will not be disclosed to third parties without the borrower's consent, except to meet government, legal and other regulatory authority requirements.

A borrower is responsible for the safe keeping and return of all items borrowed from the Library and for the cost of repair or replacement of any item damaged or not returned.

Restrictions are placed on the number of loans a user may have at any one time.

## Responsibilities of Library Borrowers

The Abu Dhabi Polytechnic staff and students are responsible for maintaining accurate contact details through the Abu Dhabi Polytechnic Portal. As in compliance with the contractual agreements, the affiliated Abu Dhabi Polytechnic email is the main channel for communication concerning library borrowing.

All other borrowers need to notify the Library of any change of address (postal and email) at the earliest opportunity.

The Library should be notified immediately of the loss of an Abu Dhabi Polytechnic Student/Staff or Library Card.

## Loan Policies

Loan policies for different borrower categories and different loan categories are as follows.

## Loan Policies

Loan policies for different borrower categories and different loan categories are as follows:

|  | Staff | Student |
| --- | --- | --- |
|  |  |  |

| | | |
|---|---|---|
| Maximum Number of Loans (all types) | 10 | 6 |
| <u>Standard Loans</u> Loan Period | 28 days | 14 days |
| Number of Renewals | 5 | 5 |
| <u>Short Loans</u> Loan Period | 4 days | 4 days |
| Number of Renewals | 5 | 5 |
| <u>2 Hour Loans</u> Number of Loans | 2 | 2 |
| Loan Period | 2 Hours Also available for overnight loan 2 hours before closing | 2 Hours Also available for overnight loan 2 hours before closing |
| Number of Renewals | 0 | 0 |
| Holds | 5 | 3 |

Overnight loans for 2 Hour Loans are not available during Study and Examination weeks.

**Renewals**

Short and standard loan items may be renewed for a maximum of five additional loan periods. The new due date is calculated from the date on which the renewal is made.

The LRC Coordinator has the option of denying a renewal but will usually only refuse a request for such a renewal if:

(a)    The item has been or is about to be recalled; or

(b)    A hold has been placed by another borrower; or

(c)    The maximum number of renewals permitted has been reached

**Recall on Borrowed Items**

At the discretion of an officer authorized by the LRC Coordinator any item on loan may be recalled at any time, if it is required for the Reserve Collection or for another borrower. Recall notices specify a new due date for the item on loan, allowing a minimum 7-day loan period.

**Penalties for Overdue and Lost Items:**

      (a)    When an item is returned after the due date, penalties apply as follows:

**Figure 6: Penalties for Overdue and Lost Items**

| Loan Category | Penalty |
|---|---|
| 2 hour loans | Suspension of borrowing rights immediately the item is overdue, plus a maximum of AED 50.00 |
| 4 day loans | Suspension of borrowing rights immediately the item is overdue, plus a maximum of AED 25.00 per item. |
| 14 day loans | Suspension of borrowing rights immediately the item is overdue, plus a maximum of AED 25.00 per item. |
| 28 day loans | As for 14 day loans |
| Recalled loans | Suspension of borrowing immediately the item is overdue, plus a maximum of AED 25.00 per item |

      (b)    The penalties for items that are not returned are:

| Loan Category | Penalty |
|---|---|
| All Categories | Continuing suspension of borrowing rights plus replacement costs. |

      (c)    Suspension of borrowing rights remains in effect until either -

All overdue items are renewed or returned and any outstanding debts are paid; or

Replacement costs are paid for any item declared lost.

      (d)    Borrowers are notified of overdue and lost items.

**Appeals**

Persons to whom penalties are applied may appeal either orally, or in writing, to the Manager to waive or reduce the penalty, or to defer payment of any fine.

A person making such representations may appeal to the LRC Coordinator against a decision relating to a penalty made by another Library officer, and may appeal against a decision made by the LRC Coordinator to the Abu Dhabi Polytechnic Director whose decision shall be final.

## 14.14    Copyright Information for the Staff

The Abu Dhabi Polytechnic is committed to the proper observance of copyright conventions and international law, and upholding the rights of creators and users. This page contains basic information that you should know about copyright compliance at the Abu Dhabi Polytechnic.

**As a staff member, what can I copy?**

The Abu Dhabi Polytechnic is permitted to make multiple copies of print material for teaching and administrative purposes. In brief, the limits for a unit of study are:

- 10% or one chapter of a book, whichever is the greater

- one article from any single issue of a journal or, in a case where there are several articles in the journal on the same topic, more than one article may be copied.

## Can I put material online?

The Abu Dhabi Polytechnic is permitted to put print material online for teaching purposes. However, the requirements are both complex and strict. The quantities are much the same as for copying, **except that only one part of a particular book may be available online at any one time across the whole Abu Dhabi Polytechnic**.

## You may copy broadcasts from TV and Radio

Another part of copyright convention permits the Abu Dhabi Polytechnic to copy radio and television transmissions for teaching purposes. Programmes may be copied from free-to-air, satellite, and cable television, and public and commercial radio. There is no restriction on what may be copied, but copies **MUST** be labeled in the required way, and they become the property of the Abu Dhabi Polytechnic.

## Can I copy films and videos?

Films, videotapes and DVDs may not be copied without the written permission of the copyright owners.

## Copyright and the Internet

Material found on the internet is not necessarily "free". International law applies to online material as well as hard copy, and owners are becoming increasingly vigilant. You should be particularly cautious about accessing music and video on the Internet. Much of the music and video available for download from websites or through peer to peer networks is in the form of illegal copies, which infringe copyright. Having illegal copies on your computer is a breach of the *IT Code of Practice* as well as a copyright infringement, and will render you liable to disciplinary action by the Abu Dhabi Polytechnic and vulnerable to prosecution by the media industries if you are caught.

## Copyright and Research

Copyright protection makes special provisions for research so that you may copy a reasonable portion of a copyright work for your own research or study. A reasonable portion, for these purposes is:

- 10% or one chapter of a book, whichever is the greater

- one article from any single issue of a journal. (Where there are several articles in the journal on the same topic, more articles may be copied if you need them for the same research project.)

## Computer Software

If you are the owner or a licensed user of a computer programme, the law allows you to make copies of that programme for backup, to develop interoperable programmes, to correct errors, and to test security. Copying of software for any other purpose is a copyright infringement, and carries heavy penalties.

**You must attribute the author when you copy**

Copyright responsibility includes "moral rights" for creators. These are the rights of attribution and integrity. Briefly, this means that there is a legal obligation to attribute a person's work when you quote it or include it in readings or lecture notes.

**What is covered by COPYRIGHT**

There are four categories of *works*, and four categories of **subject matter other than works**. (This is how they are referred to in the Policy.) The list below is not exhaustive, but should serve as a general guide to the kinds of items which are protected by copyright. It is not unusual to find that there are several copyrights involved in the one item; for instance, the protection afforded a book could involve the following:

- the text of each chapter (one or more literary works)
- the overall compilation of the book (literary work)
- the typography and layout (published edition)
- drawings and illustrations (artistic works)
- photographs (artistic works)

The four categories of ***works***, with some examples, are:

a) **Literary Works**

Poems, books (fiction and non-fiction), articles, short stories, rules to games, instruction manuals, song lyrics, catalogues, compilations, computer programmes, email, web pages and all other forms of writing (except trivial expressions such as titles or slogans - these may, however, be protected as trade marks).

b) **Dramatic Works**

Plays, film scripts, screenplays, scenarios, and other works intended to be performed, such as choreographic works.

c) **Musical Works**

Popular as well as 'serious' scores and other combinations of melody and/or harmony. (Note that songs include two types of works, literary and musical).

d) **Artistic Works**

Paintings, sculptures, drawings, sketches, engineering drawings, patterns, photographs, engravings, cartoons, computer graphics, digital art, dress patterns, plans, maps, flow charts, diagrams, technical drawings etc, and works of artistic craftsmanship such as ceramics, wood carvings, etc.

The four categories of ***subject matter other than works***, with some examples, are:

i. **Cinematographic Films**

Motion pictures, including documentaries, feature and animated films, television programmes, videotapes, videocassettes, DVDs and other fixed or recorded sequences of visual images.

### ii. Sound Recordings

Vinyl, acetate and compact discs, DVDs, mini-discs, audio tapes and other fixed or recorded sounds, e.g. taped interviews.

### iii. Broadcasts

Radio, television and certain satellite broadcasts, that is, the signals of sounds and/or images transmitted by the broadcaster.

### iv. Published Editions of Works

The publisher's layout, design and typesetting.

# SECTION 15 - INFORMATION SECURITY POLICY

## 15.1 Purpose

The Abu Dhabi Polytechnic's information technology resources are a valuable Abu Dhabi Polytechnic asset and must be managed accordingly to ensure their integrity, security and availability for lawful educational purposes. This document is intended as a high-level security policy statement for use by all Abu Dhabi Polytechnic staff, students and users of the Abu Dhabi Polytechnic's information technology resources.

The purpose of this policy is to ensure:

- The provision of reliable and uninterrupted IT services;
- The integrity and validity of data;
- An ability to recover effectively and efficiently from disruption; and
- The protection of all the Abu Dhabi Polytechnic's IT assets including data, software and hardware.

### Scope

Within this Policy, information technology resources include information assets (e.g. databases, files, training materials, risk assessment documents, business continuity plans); software assets (e.g. applications and systems software and development tools); and physical assets (e.g. computers, communications equipment and magnetic media).

The Policy applies to all users of the Abu Dhabi Polytechnic's information technology resources, including those who install, develop, maintain, administer and use those systems and applications.

## 15.2 Information Security Policy

### Access Management

All users of the Abu Dhabi Polytechnic's information technology resources must be authorized to access the appropriate systems and their resources. Access is controlled and monitored in accordance with Abu Dhabi Polytechnic policy. The elements involved in controlling and monitoring access include identification, authorization and authentication.

### Identification

All system users are assigned a unique ID to use in accessing the Abu Dhabi Polytechnic systems and applications. User IDs are not to be shared. Users are responsible for maintaining the security of their IDs and all activity occurring under those IDs. IDs are issued in accordance with approved standards. *In special circumstances, temporary generic accounts may be approved by the Director - support services.*

### Authorization

Only those users who have valid reasons (as determined by System Custodians) for accessing the Abu Dhabi Polytechnic systems and information are granted access privileges appropriate to their

educational and/or business requirements. Access is granted by means of a computer account, which also serves as identification. Accounts are issued in accordance with approved standards.

## Authentication

Authentication ensures an identity. Each ID requires a technique, usually a password, for validating identity. Standards apply to all systems requiring authentication.

## Account Management

All System Custodians must regularly review their schedule of delegated authority, to determine who is authorized to use the system and their level of authorization. System Custodians must also determine who should be able to get network access from off campus or remote locations.

At a minimum, a six monthly review of all system access levels of users should be carried out. The System Custodians should ensure any non-compliance as a result of this activity is addressed as a matter of priority. All records of non-compliance must be kept until all matters arising from non-compliance have been resolved.

When employees terminate employment or change positions within the Abu Dhabi Polytechnic, Human Resource Management should effect any necessary changes to roles and access privileges in the appropriate system and according to established business processes.

## Privileged Users Access

Certain system users have high-level access rights, enabling them to access any data stored on the Abu Dhabi Polytechnic information technology systems. These staff members can be generically termed System Administrators. Staff with high-level access rights should abide by the Code of Ethics promulgated by the UAE IT regulations. System Administrators found guilty of breaching this Code of Ethics may be subject to disciplinary action as recommended by the relevant Manager.

Contractor and third-party access are permitted only if agreed to by the Systems Custodian and a full-time employee sponsors the individual. These parties must comply with access control standards which require, at a minimum, that a unique user ID identify each user. This ensures that only authorized individuals receive access to systems. All temporary accounts should have an expiration date based on contract completion date.

## 15.3    Asset Security Management

### Server & System Backup

All critical Abu Dhabi Polytechnic information must be backed up on a regular basis. Frequency of backup is determined by the frequency with which the data changes and the effort required to recreate the information if lost. Standards apply to the backup of data from all Abu Dhabi Polytechnic systems.

Any request for backup of business data is based on client requirements as detailed in the Request for Backup form.

### Personal Computer and Mobile Device Backup

All critical Abu Dhabi Polytechnic information should be stored on centrally maintained corporate networked disc storage.  Any other data stored on desktops, laptops and other mobile devices

becomes the responsibility of the user to ensure it is backed up on a regular basis. Frequency of backup is determined by the frequency with which the data changes and the effort required to recreate the information if lost.

### Recovery

All backups of critical data must be tested periodically to ensure that they support full system recovery. System Administrators must document all restore procedures and test these on a regular basis, at least annually. Backup media must be retrievable within 24 hours, 365 days a year. Standards apply to the recovery of data from all Abu Dhabi Polytechnic systems.

### Off-Site Storage

Off-site is synonymous with "out of the building". The off-site storage location must provide evidence of adequate fire and theft protection and environmental controls. A formal Service Level Agreement (SLA) must exist with the off-site storage provider and *a site visit should be undertaken on an annual basis.*

### Data Retention

Custodians of Abu Dhabi Polytechnic data are responsible for defining and documenting the length of time data must be retained. The retention period, legal requirements, responsible parties, and source of legal requirement should be specified. System Administrators are responsible for ensuring that these requirements are adhered to.

### Business Continuity

As part of the Risk Management Framework a Disaster Recovery Plan should be prepared and tested for all of the Abu Dhabi Polytechnic's major systems. The testing strategy to be implemented will be influenced by the importance of the system to the Abu Dhabi Polytechnic's business operations and the ability to recover the system within agreed timeframes.

A copy of the plan should be stored offsite in a secure manner to ensure that the plan can be implemented in the case of a disaster. A review of any major disruption to information services should be undertaken to identify the cause of the disruption and where appropriate adjust the plan and/or procedures to minimize the risk of the event occurring again.

## 15.4    Security

All major information assets must be accounted for and have a nominated custodian who is responsible for the implementation and management of this policy in relation to those assets.

### Physical Security

Access to secure areas, including computer rooms, the PABX room, network equipment rooms and any associated service facilities, is restricted to authorized Abu Dhabi Polytechnic staff, through the use of passwords, locks or access-control devices. Access to these facilities is governed by the Abu Dhabi Polytechnic's computer room access policies. All wiring closets must be secured to prevent any damage and to stop unauthorized attempts to connect to data outlets and to prevent snooping.

**Data Security**

Different types of data require different levels of security. The Abu Dhabi Polytechnic classifies data into three categories: Public, Proprietary and Restricted. It is the System Custodian's responsibility to establish authentication and authorization guidelines for custodial data. Please note that:

- Public data can generally be made available or distributed to the general public;

- Proprietary data is for internal Abu Dhabi Polytechnic use and not for external distribution; and

- Restricted (moderately to highly sensitive) data is to be used only by individuals who require it in the course of performing their Abu Dhabi Polytechnic responsibilities, or data, which is protected by Federal and/or Emirate legislation. Restricted data can only be deleted with the permission of the System Custodian.

Staff should be aware of their legal and corporate responsibilities concerning inappropriate use, sharing or releasing of information to another party. Any third party receiving proprietary or restricted information must be authorized to do so and that individual or their organization should have adopted information security measures, which guarantee confidentiality and integrity of that data.

**Software Security**

Software for the purpose of this policy document is defined as the programmes and other operating information used by, installed on, or stored on Abu Dhabi Polytechnic owned computer systems or storage media (such as floppy disks, backup tapes, CD- ROM).  This definition also includes portable devices that can be directly, indirectly, or remotely and are able to communicate with an Abu Dhabi Polytechnic-owned information system).

To comply with legislation and to ensure ongoing vendor support, the terms and conditions of all licensing agreements must be adhered to. All software and other applicable materials must be licensed (as required) in an appropriate manner.

In order to comply with licensing regulations and to prevent software piracy, the purchasing and licensing of software and other applicable materials should, where appropriate, be carried out through IAT IT Services.  Details of the purchaser, approver and installer must be logged, traceable and auditable.

All software, including patches, upgrades or new versions, should be tested, archived and documented before being put into production systems. This transition should be under migration and version control and incorporate change management principles. Control measures should also be in place for maintaining and accessing programme and system source libraries.

All operational software should be maintained at current versions or at a level supported by the supplier. *In special circumstances, a non-current version of software for a legacy system may be retained for compliance purposes.* Processes should also be in place to ensure that information systems development and operational environments for critical systems are separated logically from each other.

Software development policies and procedures should be co-developed by ICT Services and the appropriate Abu Dhabi Polytechnic element, especially for use by project development teams consisting of staff from IT and business areas. In particular, attention should be paid to ensure

that the security controls of audit trails and activity logs are built into applications for the validation of data and internal processing.

### Internet Security

Computer devices connected to the Internet face significant risk of unauthorized access, or inappropriate use. A number of measures should be taken to mitigate this risk. Standards apply to all Internet capable devices requiring protection.

### Email Security

All email users should be aware of their responsibilities as described in the Use of the Abu Dhabi Polytechnic Information Technology Resources Code of Practice.

Unsolicited email can become a serious issue for the Abu Dhabi Polytechnic, affecting performance of the mail delivery infrastructure and productivity of the user.  To reduce the level of unsolicited messages, email that meet one or more of the following criteria will be blocked or rejected:

### Malformed email

Email with an attachment identified as a significant risk

Email that exhibit a significant level of unsolicited email characteristics.

### Instant Messaging (IM) Security

All instant messaging users should be aware of their responsibilities as described in the Use of the Abu Dhabi Polytechnic Information Technology Resources Code of Practice.

In addition, IM applications can expose security vulnerabilities that can become channels for malware distribution.  Users should be cautious when sending and/or receiving instant messages with attachments.

### Mobile Equipment/Wireless Devices Security

With the proliferation of mobile and wireless devices throughout the Abu Dhabi Polytechnic, it is essential that special usage policies and procedures be developed governing the use and access of such devices (e.g. Palm Pilots, mobile phones, Laptops). In particular, the Abu Dhabi Polytechnic should ensure that the physical security and use of its assets and the sensitivity of information access are clearly addressed in this usage policy.

In addition, and where appropriate, device timeouts should be implemented to lockdown devices and minimize the risk of unauthorized access to the device.

### 15.5    Security Breach Notification & Reporting

### Security Breaches

A security breach is defined as any action or event in contravention to the provisions of this Information Security Policy; actions or events that contravene the provisions of policy established by organizations of which the Abu Dhabi Polytechnic is a member; and/or actions or events deemed a security breach by Emirate or Federal Police organizations.

The guidelines listed under "notification" below, should be applied during the course of an actual or potential security breach.

## Notification of a Security Breach

The following steps are listed in the order that they should be taken. Once a breach is confirmed, the responsible officer should take these steps as urgently as possible. If a particular step is not appropriate to the breach, then the officer should ignore it and move to the next step.

The Director Support Services should be notified immediately.

If the security breach involves a possible breach of an Emirate, the country or International law, then the Manager or delegate will notify Director of the Abu Dhabi Polytechnic for further action.

If an Abu Dhabi Polytechnic element is involved, then that element should be notified as soon as possible, preferably via the Head of Element or approved element representative.

If an organization or person external to the Abu Dhabi Polytechnic is involved in any capacity, then the Director should be contacted to report the breach to a relevant authority.

If an organization or person external to the Abu Dhabi Polytechnic is involved as a potential victim, then that organization or person should be advised as soon as possible.

## Reporting a Security Breach

The person authorized by the Senior Manager, to carry out the technical investigation of a security breach must adhere to the process detailed below. A report of the incident should be prepared for the Senior Manager. Once approved, the report should be submitted to the Head of the relevant element outlining the following details (where possible):

- General nature of the security breach;
- General classification of people involved in the security breach, (such as external client, privileged staff member);
- Computer systems involved in the security breach;
- Details of the security breach;
- Impact of the security breach;
- Unrealized, potential consequences of the security breach;
- Possible courses of action to prevent a repetition of the security breach;
- Side effects, if any, of those courses of action.

Where appropriate, remedial action should be taken on the basis of this report. In particular, significant IT risks should be identified.

## Unauthorized Access Attempts

This includes anything from harmless exploration to hacking in order to gain access to information. Unauthorized access also includes gaining access to computer systems for future use (e.g. extortion).

All unauthorized access attempts must be noted and logged. The Audit Trail/System Access Log must be reviewed regularly, exception reports generated and inspected by the System Administrator and appropriate action taken. A copy of the report of unauthorized access attempts must be produced and kept for future reference.

## 15.6        Enforcement

The Abu Dhabi Polytechnic considers any breach of security to be a serious offence and reserves the right to copy and examine files or information resident on or transmitted via the Abu Dhabi Polytechnic's information technology resources. Students deemed to be in breach of security are subject to disciplinary action as documented in the Abu Dhabi Polytechnic's Student Misconduct Policy.

Staff deemed to be in breach of security are subject to disciplinary action available under industrial provisions. Offenders may also be prosecuted under Emirate, Federal and International laws.

The Department of Information Services may confiscate computer equipment, temporarily remove material from websites or close any account that is endangering the running of the system or that is being reviewed for inappropriate or illegal use.

### Awareness and Communication

It is essential that all aspects of information security, including confidentiality, privacy and procedures relating to system access, should be incorporated into formal staff induction procedures and conveyed to existing staff on a regular basis.

Each employee, on commencement of employment, should be made aware that they must not divulge any information that they may have access to in the normal course of their employment. Staff must also be made aware that they should not seek access to data that is not required as part of their normal duties.

System Administrators should be properly trained in all aspects of system security prior to supporting these systems.

# SECTION 16 - PUBLIC DISCLOSURE AND INTEGRITY

## 16.1    Intellectual Property Policy

**Description of the Policy:**

The Abu Dhabi Polytechnic's approach to Intellectual Property (IP) is set out in two separate Policy and Procedures documents. All necessary definitions are contained in an appendix to both documents to allow proper interpretation.

## Objective

The objective of this IP Policy is to enable the Abu Dhabi Polytechnic to protect and commercialize intellectual property while:

- ensuring that the transmission of knowledge into the wider community is not unreasonably constrained;

- dealing fairly and equitably with staff, students and other contributors;

- recognizing and respecting the contribution of staff (and students who assign ownership of their intellectual property to the Abu Dhabi Polytechnic) through sharing of financial rewards and attribution;

- acknowledging that students who are not staff own the intellectual property that they create and only under certain circumstances will the Abu Dhabi Polytechnic require students to assign the ownership of their intellectual property to the Abu Dhabi Polytechnic.

## 16.2    Policy and its application

This IP Policy has the following effect:

- Except as provided in this IP Policy and the IP Procedures, the Abu Dhabi Polytechnic asserts and does not waive its rights to the ownership of intellectual property, including intellectual property referred to in section 3.0 of this IP Policy, created by all staff while employed by the Abu Dhabi Polytechnic and in the course of their employment by the Abu Dhabi Polytechnic.

- The Abu Dhabi Polytechnic will own all intellectual property, including intellectual property referred to in section 3.0 of this IP Policy, that is devised, made or created:

- by all visitors to the Abu Dhabi Polytechnic who have access to Abu Dhabi Polytechnic confidential information (or confidential information of a third party where the Abu Dhabi Polytechnic is bound to maintain the confidentiality of that information) where the Visitor utilizes that confidential information for the further development of existing intellectual property or to develop new intellectual property;

- by all students of the Abu Dhabi Polytechnic who, as a consequence of their involvement or intended involvement in research with commercial potential being undertaken at the Abu Dhabi Polytechnic, will have access to Abu Dhabi Polytechnic confidential information (or confidential information of a third party where the Abu Dhabi Polytechnic is bound to maintain the confidentiality of that information) where the student utilizes that confidential information for the

further development of existing intellectual property or to develop new intellectual property.

- by all persons engaged by the Abu Dhabi Polytechnic as contractors (including without limitation persons engaged under contracts for services, consultants and subcontractors), during the course of or incidentally to that engagement.

The Abu Dhabi Polytechnic's rights under this IP Policy in relation to any particular intellectual property are subject to and may be modified by:

- any express waiver or modification by the Director by agreement in writing with the Person whose rights are affected by the waiver or modification;

- the conditions of any contract by which the Abu Dhabi Polytechnic is bound; and

- any express waiver under this IP Policy, including sections 4.0 and 6.0,

- provided that to the extent of any inconsistency between these instruments, the documents have priority in the order set out above.

### 16.2.1    The Intellectual Property claimed by the Abu Dhabi Polytechnic

The intellectual property of which the Abu Dhabi Polytechnic claims ownership under sections 2.1 and 2.2 of this IP Policy includes (without limitation) intellectual property in relation to:

- patentable and non-patentable inventions, together with field and laboratory notebooks relating to such inventions;

- registered and unregistered designs, plant varieties and topographies;

- databases, computer software, firmware, courseware, and related material;

- works generated by and/or with computer equipment or software, except where specifically exempted under other provisions in this IP Policy;

- Abu Dhabi Polytechnic-commissioned works;

- Confidential information associated with each and every item listed in this section 3.0;

- Copyright in works and materials except for those specifically excluded by this IP Policy; and

- Educational materials except for those specifically excluded by this IP Policy.

### Scholarly Works and Creative Works: rights waived and license rights

References to scholarly works or creative works are references to such works created by staff while employed by the Abu Dhabi Polytechnic and in the course of their employment by the Abu Dhabi Polytechnic.

Subject to the exception in section 5.0, the Abu Dhabi Polytechnic waives its rights to the ownership of intellectual property in scholarly works and creative works created by staff.

The Abu Dhabi Polytechnic expects staff to acknowledge the Abu Dhabi Polytechnic in all scholarly works or creative works and in any form of communication or publication of those works.

This waiver is subject at all times to the Abu Dhabi Polytechnic reserving to itself a non-exclusive, royalty free, perpetual, irrevocable, world-wide license (including the right to sub-license) to use, reproduce, adapt, exploit, distribute, broadcast, perform, communicate to the public or exercise any other rights in intellectual property in scholarly works or creative works for educational or research purposes or for the purposes of promoting the Abu Dhabi Polytechnic, whether or not the staff member who created the works remains an employee of the Abu Dhabi Polytechnic, and the staff member grants to the Abu Dhabi Polytechnic the license rights.

The Abu Dhabi Polytechnic's license:

- is subject to the staff member's moral rights in the Scholarly Work or Creative Work, and

- is also limited by any transfer of intellectual property in a Scholarly Work or Creative Work by the staff member to a publisher or recording company where this is a necessary condition for publication or broadcasting, for instance for publication of a scholarly article in a journal or the release of a sound recording, provided that the staff member must notify the Abu Dhabi Polytechnic of the limitation.

**Scholarly Works and Creative Works: rights asserted**

a) The Abu Dhabi Polytechnic asserts and does not waive its rights to the ownership of intellectual property in scholarly works and creative works created by a staff member while employed by the Abu Dhabi Polytechnic and in the course of their employment by the Abu Dhabi Polytechnic:

b) where the scholarly works and creative works are U-commissioned works, or are brought into existence in the course of the creation of such works;

c) where the staff member creates the scholarly works and creative works by the use of Abu Dhabi Polytechnic Resources beyond the level of Abu Dhabi Polytechnic Resources and salary commonly provided by the Abu Dhabi Polytechnic to staff;

d) where the scholarly works and creative works are the subject of contractual obligations pursuant to which the Abu Dhabi Polytechnic is bound to grant interests in intellectual property to other persons, or are brought into existence in the course of the creation of such works; or

e) to the extent that the scholarly works or creative works incorporate intellectual property owned by the Abu Dhabi Polytechnic,

f) and to the extent required, the staff member grants the Abu Dhabi Polytechnic ownership of the intellectual property in these works to the extent provided in paragraphs (a) to (d).

If the Abu Dhabi Polytechnic requests a copy of the scholarly works and creative works owned by or licensed to the Abu Dhabi Polytechnic or intellectual property in relation to which the Abu Dhabi Polytechnic wishes to assess its rights, the staff member must provide a copy to the Abu Dhabi Polytechnic as soon as reasonably possible after the request.

The Abu Dhabi Polytechnic's rights under these sections are subject to the staff member's moral rights in the scholarly works and creative works.

**Educational Materials created by Staff: rights asserted and rights waived**

a) References to educational materials in this section are references to such materials created by a staff member while employed by the Abu Dhabi Polytechnic.

b) The Abu Dhabi Polytechnic asserts and does not waive its rights to the ownership of intellectual property in educational materials:

c) to the extent that those educational materials are created or developed by staff employed by the Abu Dhabi Polytechnic:

d) with a view to commercialization; or

e) by the use of Abu Dhabi Polytechnic Resources beyond the level of Abu Dhabi Polytechnic Resources and salary commonly provided by the Abu Dhabi Polytechnic to staff;

f) to the extent that the educational materials incorporate intellectual property owned by the Abu Dhabi Polytechnic,

g) and to the extent required, the staff member grants the Abu Dhabi Polytechnic ownership of the intellectual property in these works to the extent provided in paragraphs (a) and (b).

For other educational materials not falling within this section created by staff, the Abu Dhabi Polytechnic waives its rights to ownership of the intellectual property, subject at all times to:

- the Abu Dhabi Polytechnic reserving to itself a non-exclusive, royalty free, perpetual, irrevocable world-wide license (including the right to sub-license) to use, reproduce, adapt, exploit, distribute, broadcast, perform, communicate to the public or exercise any other rights in intellectual property in the educational materials for the educational and research purposes of the Abu Dhabi Polytechnic or for the purposes of promoting the Abu Dhabi Polytechnic, whether or not the staff member remains an employee of the Abu Dhabi Polytechnic; and the Abu Dhabi Polytechnic reserving the right to request and retain a copy of the educational materials for its own use and to meet record-keeping requirements, and the staff grants to the Abu Dhabi Polytechnic the license rights set out in this section 6.3.

If the Abu Dhabi Polytechnic requests a copy of the educational materials owned by or licensed to the Abu Dhabi Polytechnic under this section or intellectual property in relation to which the Abu Dhabi Polytechnic wishes to assess its rights, the staff member must provide a copy to the Abu Dhabi Polytechnic as soon as reasonably possible after the request.

The Abu Dhabi Polytechnic's rights under this section are subject to the staff member's moral rights in the educational materials.

## Intellectual Property created by Students

Subject to the remainder of this section, students own all intellectual property that they generate and, for the sake of certainty, students own the copyright in their theses.

A student will not own intellectual property that he or she generates where the student has entered into a written agreement binding the student to assign his or her intellectual property to the Abu Dhabi Polytechnic.

Students may not, without the Abu Dhabi Polytechnic's consent, grant rights to intellectual property inconsistent with those provisions of this section which entitle the Abu Dhabi Polytechnic to rights in intellectual property generated by students.

Except any ownership of intellectual property in any thesis generated by a student, the Abu Dhabi Polytechnic asserts and does not waive its rights to the ownership of intellectual property generated by students:

- in the course of employment by the Abu Dhabi Polytechnic, if the students are also staff (except as provided in the exceptions for ownership of staff intellectual property in this IP Policy),

- where the student is also a staff member and the subject matter of his or her study is also the work for which the staff member is employed by the Abu Dhabi Polytechnic, in which case the Abu Dhabi Polytechnic as employer will own any intellectual property the member of staff creates in his/her course of study (except as provided in the exceptions for ownership of staff intellectual property in this IP Policy); or

- to the extent that the intellectual property incorporates intellectual property owned by the Abu Dhabi Polytechnic.

Students grant the Abu Dhabi Polytechnic a non-exclusive, royalty free, perpetual, irrevocable, world-wide license (including the right to sub-license) to make available for consultation, loan, or copying, at the discretion of the Abu Dhabi Polytechnic, any copy of a thesis subject to any pre-existing lawful confidentiality agreement binding the student.

Where a student's supervisor makes a contribution to intellectual property, and the Abu Dhabi Polytechnic is entitled to ownership of the intellectual property in the supervisor's contribution, the intellectual property will be owned jointly by the student (who is not a staff member), and the Abu Dhabi Polytechnic (as the supervisor's employer), as tenants in common.

Where a student participates in a research team whose members include staff, and the Abu Dhabi Polytechnic is entitled to ownership of the intellectual property in the staff's contribution, the intellectual property arising from or created or developed by the research team will be owned jointly by the student (who is not a staff member), and the Abu Dhabi Polytechnic (as the staff's Employer), as tenants in common, subject to any contract to which the Abu Dhabi Polytechnic is bound and which has implications for the ownership of the intellectual property.

The proportions of the intellectual property owned by the student and the Abu Dhabi Polytechnic respectively as a result of the above sections will be determined:

- by agreement between the student and the Abu Dhabi Polytechnic; or if the Abu Dhabi Polytechnic gives 30 days notice to the student and the student and the Abu Dhabi Polytechnic are unable to agree on the proportions within those 30 days, by the Director.

Where students undertake research that is publicly funded (that is, the research is not funded by an industry collaborator); and has no commercialization horizon or objective, Students will own their interest in the intellectual property that they create or develop, subject to any written agreement or arrangement that the student might enter into with the Abu Dhabi Polytechnic or another Person concerned.

Where it is proposed that a student participate in research projects which are funded by industry collaborators; or have commercialization horizons or objectives, the student must, prior to commencing work on the project, assign their interest in the intellectual property that they create or develop to the Abu Dhabi Polytechnic. This is necessary to enable the Abu Dhabi Polytechnic to meet its legal obligations with industry collaborators, and to commercialize the intellectual property.

Students may seek to obtain the assistance of the Abu Dhabi Polytechnic, through its Director and BOT, to commercialize their intellectual property, and for this purpose volunteer to assign their intellectual property to the Abu Dhabi Polytechnic.

If a student is required to assign, or volunteers to assign, his or her intellectual property to the Abu Dhabi Polytechnic, the terms of the assignment must be in writing and provide that:

- the student will share in net financial proceeds arising from commercialization by the Abu Dhabi Polytechnic, if any, with all other joint creators or inventors, and any other parties whose ownership of intellectual property is governed by any contracts to which the Abu Dhabi Polytechnic is bound;

- the student will retain copyright in the student's thesis;

- the student must not be impeded in submitting a thesis for examination and completing requirements for the award of a degree or other relevant award;

- the student will be encouraged to submit academic papers to scholarly journals, subject to any necessary delays to protect the intellectual property before finalizing of patents;

- the student must maintain confidentiality in relation to the project;

- the student will obtain independent legal advice in relation to the assignment document; and

- if a student is unable to afford legal expenses for that advice, the Abu Dhabi Polytechnic will pay for that advice, up to an amount approved by the Director and will be entitled to make the first call on any income arising from commercialization of that intellectual property for recovery of such payment.

The Abu Dhabi Polytechnic cannot require a student to assign any of his or her intellectual property in order to qualify for enrolment or to remain enrolled in a course.

Students are free to choose not to engage in research or a project that requires them to assign any intellectual property. If a student chooses this option, the Abu Dhabi Polytechnic will endeavor to support the student in developing and undertaking an alternative research project which is of equal academic merit, which is not funded by an industry collaborator and is not commercially focused.

If the Abu Dhabi Polytechnic requests a copy of the student intellectual property owned by or licensed to the Abu Dhabi Polytechnic under this section or intellectual property in relation to which the Abu Dhabi Polytechnic wishes to assess its rights, the student must provide a copy to the Abu Dhabi Polytechnic as soon as reasonably possible after the request.

The Abu Dhabi Polytechnic's rights under this section are subject to the students' moral rights in the student intellectual property.

## 16.3    Moral Rights

The Abu Dhabi Polytechnic acknowledges the moral rights of its staff and students. Where the Abu Dhabi Polytechnic permits the use of intellectual property created by staff or students or endeavors to cause the creator's authorship to be clearly and prominently identified in former staff or students for Abu Dhabi Polytechnic functions, the Abu Dhabi Polytechnic will use its reasonable accordance with long-standing codes of good academic practice unless the individual concerned has expressed an alternative form of attribution that is made known to the Abu Dhabi Polytechnic in writing and agreed to by the officer of the Abu Dhabi Polytechnic responsible for the implementation of the relevant part of this IP Policy.

Where the intellectual property is co-authored by two or more individuals, and the co-authors have entered into a relevant agreement in respect to their moral rights in the work, the Abu Dhabi Polytechnic will use its reasonable endeavors to respect the arrangements set out in the agreement according to its terms, provided the Abu Dhabi Polytechnic has been advised of these terms in writing.

Where changes need to be made to later editions incorporating the intellectual property and other authors are involved, the Abu Dhabi Polytechnic will use its reasonable endeavors to cause appropriate forms of attribution to be provided. Before the intellectual property is used or changed in a way that has not been expressly or by implication approved by the staff or student or former staff or student concerned, the Abu Dhabi Polytechnic will use its reasonable endeavors to obtain their approval.

### 16.3.1    The Abu Dhabi Polytechnic's Confidential Information

Students, staff and visitors who receive or develop Abu Dhabi Polytechnic confidential information must, unless expressly otherwise agreed with the Abu Dhabi Polytechnic:

- keep all Abu Dhabi Polytechnic confidential information strictly secret and confidential;

- not make any use whatsoever of Abu Dhabi Polytechnic confidential information except for the purpose for which the Abu Dhabi Polytechnic confidential information is disclosed to them;

- take such steps as are reasonable to preserve the confidentiality and secrecy of the Abu Dhabi Polytechnic confidential information; and

- not make copies or duplicates of the Abu Dhabi Polytechnic confidential information except to the extent that it is reasonably necessary for the purpose for which the Abu Dhabi Polytechnic confidential information is disclosed to them; and

- not reveal any of the Abu Dhabi Polytechnic confidential information to any person whatsoever except for those persons who have a need to know the Abu Dhabi Polytechnic confidential information for the purpose for which the Abu Dhabi Polytechnic confidential information is disclosed to the student, staff member or Visitor.

The obligations under the above section shall remain in effect indefinitely.

Despite the above, the obligations of confidentiality under this IP Policy do not extend to information that (whether before or after this IP Policy) becomes effective:

- is rightfully known to or in the possession or control of the recipient and not subject to an obligation of confidentiality on the Person who receives or develops the Abu Dhabi Polytechnic confidential information;

- is public knowledge (otherwise than as a result of a breach of this IP Policy or any other confidentiality obligations on the Person who receives or develops the Abu Dhabi Polytechnic confidential information); or the Person who receives or develops the Abu Dhabi Polytechnic confidential information is required by law to disclose, to the extent that the law requires it to be disclosed.

Obligations of Staff, Students and Visitors in relation to Intellectual Property

Staff, students and visitors must take reasonable care when developing and dealing with Abu Dhabi Polytechnic intellectual property to minimize the risk of:

- infringing the intellectual property of other persons;

- exposing the Abu Dhabi Polytechnic to any claims from or liability to other persons; and

- conflicts between agreements dealing with intellectual property;

- do all things reasonably necessary to assist the Abu Dhabi Polytechnic in protecting, securing, confirming and perfecting its ownership of intellectual property, including executing any documents and providing assistance to the Abu Dhabi Polytechnic in obtaining statutory registration of intellectual property in its name where appropriate.

## 16.4     Status of IP Policy

This IP Policy applies as amended by the BOT from time to time, has effect as an exercise of the BOT's powers to manage and control the Abu Dhabi Polytechnic's affairs and property, and is also incorporated in any contractual terms governing the Abu Dhabi Polytechnic's relationship with any persons, including but not limited to the conditions of employment for staff and employees, enrolment for students, and appointment of visitors.

To the extent, if any, that this IP Policy purports to have the effect that a Person grants rights in respect of or an interest in any intellectual property to the Abu Dhabi Polytechnic, or the Abu Dhabi Polytechnic grants rights in respect of or an interest in any intellectual property to a Person, the grant will be deemed to have been made in writing signed by the grantor.  Part or all of any provision of this IP Policy that is illegal or unenforceable may be severed from this policy and the remaining provisions of this policy continue in force.

All intellectual property created by staff, students and visitors on or prior to the date on which this IP Policy is approved by the BOT, is intellectual property governed by the terms of the Abu Dhabi Polytechnic's intellectual property policy in force at that time.

Unless the intellectual property has been assigned or otherwise dealt with by the Abu Dhabi Polytechnic, a creator may, by notice in writing to the Director, apply for this IP Policy, in lieu of any previous intellectual property regime, to apply to the intellectual property created by that creator prior to the date referred to above. Any assignment by the Abu Dhabi Polytechnic will only take place if agreement is reached between the Director and the creator and upon such terms as are agreed in writing between them.

### 16.4.1     Dispute Resolution

The resolution of disputes under this Policy is to be dealt with quickly and fairly. The intent of this clause is to resolve any matters in dispute through mediation rather than legal proceedings.

Where a staff member, student, contractor or visitor involved in the creation, development or ownership of intellectual property disputes ownership and rights under this policy this is to be raised, in the first instance, with the Abu Dhabi Polytechnic Director.

If the dispute cannot be resolved by the Abu Dhabi Polytechnic Director or the matter(s) is not resolved within 14 days, the dispute will be referred to the Director General. The Director, or his/her nominated Officer, will attempt to resolve the dispute by mediation or appoint an independent expert in the area of Intellectual Property to investigate the matters in dispute and recommend a resolution to the Director General. The Director General will then make a determination within 30 days.

Failing resolution, within a further 14 days, either party may commence legal proceedings to resolve the dispute.

All matters associated with the resolution of disputes under this clause will be held confidential.


### 16.4.2 Review of IP Policy

This IP Policy will be reviewed by BOT five years from the date on which the IP Policy was approved or at such earlier date as BOT may from time to time decide.

# SECTION 17 - ACADEMIC STAFF POLICIES

## 17.1    Faculty/Staff Professional Development Policy

### Rationale

The Institute of Applied Technology (IAT) Academies are committed to the vision of employee continuous improvement, through the development of a culture that motivates employees and provides them with the opportunities and tools for self-advancement.

### Principles

The following principles underlie the Faculty/staff Professional Development policy at all IAT academies:

- The professional development should be distributed so that academic staff have equal opportunities for development under the prevailing operational constraints bearing in mind the differing requirements accompanying different expertise and seniority levels of staff

- Professional development will be accessible and available to every member of staff and faculty.

- Professional development is a responsibility shared by the individual staff member, the individual staff member's Director/s and the IAT.
- Professional development is an integral part of the IAT's strategic planning.
- Annual priorities for professional development activities will be developed from IAT's key objectives and planning processes within each Portfolio.
- The IAT Portfolios will provide appropriate professional development and/or staff training to ensure staff develop or maintain specific specialist skills as well as generic skills and knowledge required to meet external compliance requirements and/or to competently apply IAT systems, policies and processes.
- Development activities offered through IAT will focus on action learning and work-based learning strategies. Wherever appropriate, development activities will be underpinned by mentoring and coaching.
- Staff accessing internal or external development activities will be expected and supported to share and apply their new skills and knowledge in their work practice.
- Directors/Managers will manage individual and team work so as to ensure that professional development is incorporated into every staff member's role.

### Policy

It is the Policy of the Abu Dhabi Polytechnic (Abu Dhabi Polytechnic) institute to provide assistance and support to staff employees to increase the effectiveness of their performance in their present Abu Dhabi Polytechnic positions, as well as to encourage employees to obtain skills, knowledge, and abilities, which may improve their opportunities for career advancement within the institution.

This Policy stems from the view that professional development and continuous learning are necessary to maintain the quality of the Abu Dhabi Polytechnic staff and their continued readiness and ability to contribute effectively to the mission and goals of the institute.

The aim of this policy is to affirm the IAT (Abu Dhabi Polytechnictechnic) commitment to:

- fostering a culture of professional learning, in association with and informed by institutional learning and development
- developing staff capabilities which support the achievement of strategic directions and organizational goals of the Institute
- Incorporating professional development performance measures alongside other key performance indicators of the institute.

## Scope

For purposes of this Policy, professional development programmes and activities may include but are not limited to: opportunities for on-the-job training, cross-training, coaching, internships, attendance at courses, seminars, conferences, institutes, lectures, meetings, workshops, and participation in professional and technical associations.

To facilitate an employee's participation in professional development activities, the department head may approve: flexible work options such as alternate work schedules; a period of paid or unpaid leave; partial or full payment or reimbursement of training expenses; or a temporary or part-time work assignment in another department.

## Definitions

Professional Training Programmes shall be classified as position or job related, career related, or educational enrichment based on the judgment of the department head in consultation with the director. Position- or job-related programmes are directly related to the work assignments or conditions of the employee's current position. Career-related programmes are related to the development of skills, knowledge, and other qualifications which prepare an employee for additional assignments or positions within the Institute for which the employee, in the judgment of the department head, has some reasonable chance of attainment. Educational enrichment programmes are related to an employee's avocation or career talents outside the Institute and are not related to Institute positions for which an employee might, in the judgment of the department head, be an effective competitor.

## Eligibility

This policy applies to all employees (staff and faculty members) of the Abu Dhabi Polytechnic. An Abu Dhabi Polytechnic employee is eligible for the benefits provided by this policy and procedures for position or job related programmes and activities if the employee has completed the probationary period, if required, and the job performance is rated as satisfactory or better.

## Responsibilities

It is the responsibility of:

- **Employees**
    - embrace lifelong learning
    - undertake continuous professional development
    - Have the primary responsibility for their own professional development.
    - Make professional development interests known to their Department Heads.
    - Initiate requests to participate in programmes relevant to the development goals identified jointly with their Department Heads.
    - Attend and participate in development activities as approved or required by their Directors/department heads.


- **Department Management**

- Identify training opportunities derived fromthe Personal Evaluation goals set which align to the overall IAT strategic plan.
- In consultation with Human Resources as appropriate, assess employee professional development needs.
- Approve/deny development requests of employees in consultation with Directors.
- Consider employee development in budgetary planning.
- Ensure performance appraisals of employees include a discussion of educational and development objectives as appropriate.
- Develop an appropriate training budget to meet the needs of staff training.

- **Human Resources**
  - Assess campus wide development needs and based on availability of resources, sponsor appropriate development programmes.

## 17.2 Training plans development:

Training plans are developed through:

- Identification of skills gaps through new employee status, employee evaluation process, or in the course of work.
- Emerging work requirements, e.g. institutional growth or direction.

## 17.2.1 Procedure

The employee and department head should jointly discuss professional development goals, review available opportunities, and determine applicable benefits identified by the department in accordance with Abu Dhabi Polytechnic Personnel policies and procedures.

Discussion about professional development goals may occur at any time during the performance review cycle and should occur as part of the annual performance appraisal. The department and employee may jointly formulate an individual development Plan (IDP) to work collaboratively to build on the employee's effectiveness in performing the current position and/or preparing the employee for future positions.

When requesting professional development leave, the employee must have a current approved IDP in place. If a professional development activity is not on the current IDP, then an addendum must be completed and submitted to the department head for approval.

**Criteria for Determining Departmental Support**

The department head, in consultation with the Director shall determine whether, and the degree to which, an employee's participation in a professional development activity shall be supported by the department. In making this determination, the department head shall consider: the employee's need for development as reflected in the individual development plan (IDP) and the employee's career goals; needs and resources of the department; advantages one type of development activity has over the other types available; professional development needs of other department employees; and the effect of the determination on workload and other employees. When participation in a professional development activity requires attendance during the employee's normal work schedule, prior approval by the department head is required.

Time Worked When time in attendance is not approved as time worked and the activity is unavailable outside normal working hours, the department head is encouraged to provide the

employee the opportunity to participate by arranging an alternate work schedule to make up the time in attendance.

The department head may approve an employee's attendance at position-related or career-related programmes as time worked. When a department head requires an employee to attend a position-related activity, the time spent in attendance shall be counted as time worked. However, when an individual is hired with the understanding that specific additional training is to be obtained or completed, that individual may be required to participate in such training on off-duty time. An employee's participation in educational enrichment programmes shall not be counted as time worked.

### Guidelines for Time Spent in Professional Development

The amount of time spent on professional development programmes will vary with the individual employee. The amount of leave to be granted depends upon the specific developmental activity. As a guideline, exempt employees may be granted 10 workdays of approved paid release time annually, and non-exempt employees may be granted 80 hours of approved paid release time annually.

### Institute In-Service Training and Development Opportunities

All departments offer courses and programmes designed to meet the diverse knowledge and skill or competency needed during work time, e.g., in-house training and on-the-job performance programmes. As a general policy, such courses and programmes are considered as actual hours of work.

### Compensatory Time

Time spent by an employee on the employee's own initiative to take any development programme is not counted as "hours worked" even if the programme is position-related. However, if the employee is required to take a development programme, then programme hours must be counted as "hours worked" for Fair Labor Standards Act purposes.

### 17.2.2    Orientation

All new members of employees undergo a period of orientation. This period begins before the employee starts working and is conducted by the Personnel Officer and the receiving line manager who will give information as appropriate to a new employee.

On arrival the employees are introduced to their working environment and their colleagues and if possible are allocated mentor or 'buddy' to offer support and guidance.

Employees receive information on Abu Dhabi Polytechnic mission, vision and culture. Related key subjects are addressed such as: rules and regulations, code of conduct, dress code, Internet policy, contractual terms and conditions, personnel administration processes for vacation leaves, benefits, sick leave, etc. and issues related to the health and safety of themselves and the wider Abu Dhabi Polytechnic community.

Individuals may undergo specific orientation in relation to their job. Instructors and Teaching Assistants will undergo specific curriculum delivery, classroom management, and where necessary cultural awareness and ethical consideration orientation.

### 17.2.3    On the job training

On the job training is an important part of an employee's development. Being able to do a job correctly with commitment and on time demonstrates an employee's potential.

On the job training comprises an initial induction into the work and either intermittent or continuous guidance and supervision until full competence against measurable criteria is achieved. This type of training applies to new employees or whenever a new process is being introduced. Professional Development in-house courses can supplement on the job training. All employees undergo some degree of on the job training. The requirement for on the job training is evaluated at the start of employment and is evaluated annually.

### 17.2.4    Formal off the job training

In specific instances where a training need has been identified which cannot be delivered in-house, and it is for the specific achievement of a strategic need, a line manager should prepare and present in good time a case to the IAT Managing Director for approval using the Training Request Form. The case should describe:

- the need
- the course
- the anticipated outcome
- attendees and why chosen (all attendees should be regular employees only)
- the location of the course and the duration
- the cost of the course
- the need and cost of any incidentals, e.g. transport, accommodation, subsistence allowance, learning materials, etc.

The Training Request Form should be submitted to the Human Resources office for final approval by the IAT Managing Director.

Approvals are given on the undertaking that a full evaluation report is presented to the IAT Managing Director by all attendees and all learning and course materials are shared.

Details of procedure for claiming expenses related to undertaking external training are detailed in Policy 10 Business Expenses of the *Abu Dhabi Polytechnic Human Resources Policy Manual*.

### 17.2.5    Travel to Scholarly Meetings and Field Research Travel

Since acquisition and dissemination of new knowledge are essential parts of the Institute's research function.  discretionary funds are budgeted at each campus to finance grants to qualified individuals for travel to meetings of learned societies and organized conferences called to present and discuss important research results, and for field research travel.

 A. Travel to Scholarly Meetings

Grants from the Abu Dhabi Polytechnic budget for travel to scholarly meetings shall conform to the

following provisions:

1. Grants shall be restricted to faculty members who are Institute appointees and academic staff if such an individual has been designated to represent the academic department.

2. Grants may be made for travel to present works of art or to present other forms of creative expression, but only for the initial presentation of such creative endeavor.

4. The sum granted for travel to attend a meeting of a learned society or a conference may include the cost of transportation and subsistence, in accordance with the Institute Policy and Regulations Governing Travel.

5. At the discretion of the Director, upon recommendation of the respective department and depending on the availability of funds, allowance may be limited to the partial reimbursement of the allowable travel expenses.

5. A grant in exception to any of the above provisions may be authorized by the Director or his/her designee upon recommendation of the respective department

B. Field Research Travel

Travel for the purpose of developing knowledge, designated here as field research travel, is distinguished for administrative reasons from travel for the purpose of disseminating knowledge, that is, travel to scholarly meetings as defined and regulated above. Grants for field research travel shall conform to the following provisions:

1. Funds for field research travel for the purpose of gathering data and research materials may be awarded by the Director upon recommendation of the respective department

2. Allowance may be made for transportation and subsistence in accordance with the Institute Policy and Regulations Governing Travel. When the travel regulations of a sponsoring agency differ from those of the Institute, the more restrictive regulations will apply.

In all cases, the Director may issue supplementary instructions which are consistent with the provisions in parts A and B of this policy.


## 17.2.6    In-house professional development


In the strategy for the achievement of Abu Dhabi Polytechnic's objectives, line managers should actively develop the culture of skills and information dissemination utilizing the in-house pool of skills and educational attainment of its staff.
- Managers should identify training needs from personnel evaluations or from changing or emerging work needs.
- Line managers should identify members of staff from within their team/department or from within the institute who has the required skill or knowledge.
- Training sessions should be developed in conjunction with the line manager and training deliverer to ensure best fit.
- Where non-specific training is being delivered, the training course should be published across Abu Dhabi Polytechnic and be open to anyone who has an appropriate need.
- Staff should either be nominated to attend or should request to attend using the Training Request Form

### 17.2.7   Evaluation

All employees who undergo professional development training have to complete a course/training evaluation form to ensure that the delivery and content of the course were appropriate and effective.

### 17.2.8   Training Bonds

Where an employee undertakes external training which is funded by Abu Dhabi Polytechnic, then, dependent on cost, there may be a requirement to enter into a training bond agreement where the employee agrees to remain in the employ of Abu Dhabi Polytechnic for a pre-agreed period of time following the training. The training bond agreement should be drawn up and agreed by both parties before any external Abu Dhabi Polytechnic funded training takes place.

Following approval to undertake external Abu Dhabi Polytechnic funded training given by the IAT Managing Director, the Human Resources office will draw up the necessary agreement and discuss the terms with the employee.

### 17.2.9   Reimbursement

A. If the professional development programme or activity is related to the employee's existing position or one to which the employee is to be promoted, and the Institute requires the employee to attend because of departmental needs, the benefits are:
   - A 100% reimbursement of course fees and books at the beginning of the course;
   - Out of emirate/Country travel expenses paid in accordance with Institute travel regulations, if applicable;
   - All time in the course is considered time worked and subject to the provisions of Abu Dhabi Polytechnic Personnel Policies and Procedures.
   - An alternate work schedule may be developed subject to local implementation provisions of Abu Dhabi Polytechnic Personnel Policies.

B. If the professional development programme or activity is position-related or career-related, and there is mutual agreement that the employee attends, the possible benefits are:
   - Up to 100% reimbursement of fees including outside of the Abu Dhabi Polytechnic upon evidence of satisfactory completion of courses.
   - An alternate work schedule may be developed subject to the local implementation provisions of Abu Dhabi Polytechnic Personnel Policies and Procedures.

### 17.2.10   Associated Documents

- Professional Development Application Form /Training Request Form
- Abu Dhabi Polytechnic Human Resources Policy Manual.
- a course/training evaluation form (course-dependent)
- travel request form
- training bond agreement form

# Professional Development Application Form

Name:

Division:

Job title: 999999

Activity, Event, Course:

Organizer, Institution:

Location:

Outside UAE NO Description --Select--

Start Day Month Year End Day Month Year

| Cost | Registration | Travel | Accommodation |
|------|--------------|--------|---------------|
| | | | |
| | Meals | Other Expenses | Total |
| | | | |

State how PD fulfills personal, division and Abu Dhabi Polytechnic goals:

Applicant

Line Manager

Abu Dhabi Polytechnic Director

Date

Once complete, please print this form, have it signed by the above parties, and submit it to your Abu Dhabi Polytechnic PD representative. Read the PD Policy for more detailed instructions.

# Travel Request Form

**General Data**

| | |
|---|---|
| Academic Year, Semester | |
| Department | |

**Faculty/Staff Data**

| | |
|---|---|
| Applicant Name | |
| Position/Rank | |
| Date of Appointment | |
| Employee Number | |
| No. of sponsored Travels During Current AY | Funded ( 0 )          Not Funded ( 0 ) |

**Travel Purpose**

| | |
|---|---|
| Conference Attendance only | |
| Conference Attendance and presentation | |
| Programme Development | |
| Official delegation | |

**Travel Request Justification**

……………………………………………………………………………………...
……………………………………………………………………………………...

**Recommended Travel Budget Details**

| | |
|---|---|
| Airfare | |
| Registration | |
| Per Diem (No. of Days) | |
| Total | |
| Reasons for Recommendation | ………………………………………….<br>………………………………………….<br>…………………………………………. |

**Applicant Signature**

**Director Recommendation**                    **Managing Director Approval**

**Research Paper Travel Request**

| | |
|---|---|
| Paper Title | |
| Conference Title | |
| Conference Period | |
| Destination City / Country | |

**Criteria Fulfillment**

(1) Reputation & professionalism of the organizing association or society, and that of the sponsors [1]

| | |
|---|---|
| Organized by | |
| Sponsored by | |
| International | |
| Regional | |
| Participation of well-recognized scholars in the field (if available) | |

(2) Inclusion of the paper in the conference proceedings as full-length paper [2]. The paper is accepted based on:

| | |
|---|---|
| Short Abstract | |
| Full-Length Abstract | |
| Full-Length Paper | |
| Oral Presentation | |
| Poster Presentation | |

**Other Information in Support of Application (if any)**

……………………………………………………………………………………...

……………………………………………………………………………………...

| | |
|---|---|
| Department | |
| Signature | |
| Date Submitted | |
| Date Received | |

[1]   Please provide all documentation supporting the quality of the conference, organizing association status, well-recognized scholars in the field (if available) and the basis for the acceptance of presentation and publication.

[2]   Submission of the copy of the paper taken from the proceedings with the travel report after the travel or submission of a letter from the organizing committee guaranteeing the inclusion of the paper in the proceedings.

*Comments & Recommendations of the Director*

…………………………………………………………………………………...

…………………………………………………………………………………...

*Approval of the Managing Director*

## 17.3     Academic Appointments and Promotions Policy

### Definition

The Academic Appointment and Promotion Policy at The Institute of Applied Technology (IAT), is an academic process through which an Academic staff is assessed for their appointment to the correct academic grade, and subsequently on their performance as instructors, their contributions to the institution, applied research, publications, local and international seminars conducted, and their professional self-development, as well as their future potential. This policy is executed by the Academic Personnel Committee (APEC).

### Purpose

The purpose of IAT academic staff appointment and promotion is to place appointees in their correct grades and to recognize the achievements and professional development of academic staff and their demonstrated capacity to contribute to mission and academic contribution by undertaking duties at a higher level than their current appointment.

### 17.3.1     Policy Framework

The policy and procedures have been determined with due regard to both national and international norms. IAT values and recognizes the importance of excellence in teaching and academic development in research and consultancy, in scholarship, in the advancement of knowledge, and through innovation and entrepreneurial spirit. Staff who meet the criteria for promotion set out in this code of practice and who contributes to IAT through leadership, professional and community engagement are rewarded through promotion. The following are the principles that IAT considers:

### Principles

The promotion process supports the principles of equal opportunity, fairness and social justice. These principles require that there should be no discrimination against any individual on the basis of personal characteristics such as sex, ethnicity, age, disability, cultural background and religion.

### Academic and Professional Standards

   i.     IAT's appointment process recognizes an appointee's educational background and experience in teaching, research and duration of relevant experience.
   ii.    IAT's promotion process offers recognition and reward for sustained excellence.
   iii.   Applicants for promotion have to demonstrate they that have maintained active and effective scholarly capacity in their disciplines by contributions to teaching and learning, Research, Knowledge Application, Leadership and service to their discipline/profession, and the community.
   iv.    The Academic Personnel Committee (APEC) at the Institute of Applied Technology (IAT) will determine the quality and effectiveness of the applicant's teaching and contribution to all aspects of teaching and learning, and that the applicant's demonstrated leadership in his/her discipline/profession, and community.

### Timing and Eligibility

A promotion exercise is conducted *once a year* for all promotion levels. Heads of Departments will initiate the nomination process.

### 17.3.2    Promotions/ Appointments Criteria

**Appointment Levels**

IAT appoints staff to the following academic posts:
- Senior Faculty
- Faculty
- Senior Lecturer
- Lecturer
- Teaching Assistant/Lab Engineer

The procedures and criteria for the appointment and promotion of academic, administrators and research staff are similar, but whereas academic staff are expected to engage in the full range of academic activities and to provide evidence of achievement in some/ all of them, administrators and research staff engage mainly in administration, management, research, professional development, community service,  and their evidence of achievement, e.g., consultancy, representational roles internally and externally and the production of higher education teaching texts provided these relate to their area of research specialization or programme specializations.

**Candidates will be appointed according to the table in Annex A attached.**

**Application Process for Promotion**

Heads should submit their nominations at least four weeks before the mid-year APEC meeting. The Secretary of APEC will initiate the process. The **Forms A and B** must be completed as part of the application. Nomination files will be sent during those two weeks to the members of the Committee along with the letter informing the date and the venue of the meeting. It is expected that applications for Academic Promotion should be the result of an ongoing process of staff development and performance review between the individual member of staff and their Head of Department/Director. Therefore, applicants are encouraged to seek guidance and support on their application from their Heads of Department/Director in before making their submission.

**General criteria**

In general, all applicants for promotion will be required to demonstrate merits in the areas set out below:

- Teaching and Learning
- Research and Professional Development
- Knowledge Application, e.g., Student Mentoring and Advising
- Academic Contributions and Leadership
- Institute Contributions

Applicants at all levels must provide evidence against the promotion criteria: Teaching and Learning, Research, Knowledge Application and against the required Leadership capacity for the appropriate academic level.

**Special Recognition Awards**

IAT seeks to recognize through special compensation employees whose work or working conditions are exceptional. Additionally, IAT recognizes the importance of adjusting pay to resolve inequities. Additional pay may be granted to employees in certain cases where job performance greatly exceeds normal levels. Other salary adjustments may also be made to resolve salary inequities, meet market conditions, or for other reasons.

**Annual Salary Increase**

An IAT employee is eligible for a yearly salary increase based on his/her performance during the year. The process of salary increase is initiated by the department Head through the IAT Director. This salary adjustment is considered a normal merit increase. The amount of Annual Salary Increase follows the grade system of IAT.

**Decision Procedures**

The decisions of the Academic Personnel Committee are effective after validation by the Executive Committee and Managing Director. After this validation, decisions are communicated to the applicants within one week through official letters.

**Appeal Procedures**

Applicants will have the right to appeal against the decision in relation to their application on the ground that the procedures outlined in the Academic promotions procedures were not followed. An appeal must be lodged with the Director within 14 days of notification of the result of the application. Applicants may argue their case for promotion by providing further evidence in line with the promotion criteria stated above.

**Policy Review**

IAT is committed to reviewing and developing the development of the Academic staff. IAT will review the Academic Appointment and promotions Code of Conduct at least once every two years and will initiate additional reviews if circumstances so require.

**Associated Annexes and Forms**
Annex A:     Academic Appointment Table
Annex B:     Performance Appraisal Rubric
Annex C:     Academic Staff Promotion Guidelines
Form A:      Nomination for Promotion Form
Form B:      Academic Appraisal form

**Form A**

# Nomination Form for Promotion

| | |
|---|---|
| Name of Faculty: | Employee Number: |
| Institute: | Date of Appointment: |
| Promotion From: | Promotion To: |
| Highest Qualification: | Date Obtained: |

Please provide justification for your nomination in the following categories. Add more pages if necessary. Attach any evidence or documentation to support

**Teaching and Learning:**


**Student Advisement and Mentoring:**


**Professional Development:**


**Academic Contribution and Leadership:**


**Institute Contribution:**


**Potential for Academic Leadership**



Nominated by: _____          Date: _____


Signed: _____

Form B
**PERFORMANCE APPRAISAL FORM**

**[It will be an advantage to attach additional evidence or documentation]**

| Domain | Guiding Questions (these are not exhaustive) | Staff's Remarks | Staff's Self-Grade | Supervisor's Remarks | Spv's Grade | Director's remarks | Dir's Grade |
|---|---|---|---|---|---|---|---|
| **Teaching and Learning** | • Is the staff knowledgeable and well-prepared in his subject area?<br>• Does the staff promote critical thinking and active class participation?<br>• Does he/she communicate and express his thoughts clearly and logically?<br>• Does the staff gauge the learning style of the students and adjusts accordingly?<br>• Does the staff plan his lesson properly?<br>• Does the staff manage the class well?<br>• Does he/she create a strong supportive learning environment?<br>• Is the staff punctual for class?<br>• Is the staff well-dressed and groomed in conformance to the Institute dress code? | | | | | | |
| | • Is the staff student-centered and makes time for students outside class? | | | | | | |

| | | | | | | |
|---|---|---|---|---|---|---|
| **Student Mentoring and Advising** | • Is the staff impartial to every student?<br>• Is the staff a willing mentor to students?<br>• Is the staff approachable by students?<br>• s the staff committed to the learning and progress of the student into his or her career? | | | | | |
| **Professional Developmnt** | • Is the staff IAT to date with technology and ICT? Does he/she use ICT for teaching and learning?<br>• Does the staff collaborate with professionals and members of the community to enhance student learning, student achievement, and the development of school programmes?<br>• Does the staff seek out development opportunities for himself?<br>• Has the staff attended any relevant conferences or published any papers during the year?<br>• Is he or she active in his professional body?<br>• Is the staff well-connected with industry?<br>• Does he/she undertake any applied research? | | | | | |

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| **Academic Contribution and Leadership** | <ul><li>Does the staff exhibit knowledge of different pedagogies and is able to identify a suitable one?</li><li>Does the staff lead by example?</li><li>Does the staff contribute to curriculum development and teaching materials?</li><li>Does the staff suggest or use additional teaching resources?</li><li>Does the staff exhibit high integrity and ethical behavior?</li><li>Does he show respect to his colleagues?</li><li>Does he collaborate well with others and work as part of a team?</li><li>Does the staff mentor and assist junior staff?</li><li>Does the staff exhibit initiative and leadership qualities?</li></ul> | | | | | | |
| **Institute Contribution** | <ul><li>Is the staff committed to enlarging his network of contacts in industry?</li><li>Is he contributing to the Academy, IAT or community through committee appointments?</li><li>Does the staff collaborate with professionals and members of the community to enhance student learning, student achievement, and the development of school programmes?</li></ul> | | | | | | |

| | | | | | | | |
|---|---|---|---|---|---|---|---|
| | • Does the staff actively promote the Academy or Institute through outreach and seminars? | | | | | | |
| **OVERALL** | Given the staff's appointment and grade, what is his overall performance? | | | | | | |

Staff Signature: _____  Supervisor: _____ Approver: _____

Date: _____

**ANNEX B**

## PERFORMANCE APPRAISAL RUBRIC

| Grade | Descriptors | Description |
|---|---|---|
| A/5 | Exemplary; Exceeds Expectations; Great; Always. | The employee far exceeds the requirements of his/her current grade, demonstrating high initiative and desire to excel. The employee is a role model for others to follow. This grade can be given to not more than 10% of a similar group. |
| B/4 | Highly proficient; Exceeds most expectations; Highly capable; Good; Often. | The employee exceeds the requirements of his current grade with little or no shortcomings. He is well-motivated and tries to do better. This grade is usually given to about 25% of a similar group. |
| C/3 | Competent; Meets most expectations; adequate; Average; Usually. | The employee meets the requirements of his current grade. He is motivated to do a competent, but not a great job. This grade is given to about 50% of a similar group. |
| D/2 | Performs below expectations; Needs Improvement; Inadequate; Occasionally. | The employee is underperforming. However, it is judged that he has the potential to do so with further counseling and professional development. This grade is given usually to about 10% of a similar group. |
| E/1 | Performs far below expectations; poor unfit for job; Seldom/never. | The employee is underperforming, is unable to meet expectations and is unlikely to have the potential to do so. This grade is given usually to less than 5% of a similar group. |

- Note that the expectations of performance of each staff member will need to be calibrated according to the current grade and pay scale. For example, a senior faculty member should be expected to exhibit more leadership and guidance than a junior instructor.

**ANNEX C**

## ACADEMIC STAFF PROMOTION GUIDELINES

| From | To | Teaching and Learning | Student Mentoring and Advising | Professional Development | Academic Contributions and Leadership | Institute Contributions |
|------|-----|----|----|----|----|----|
| Teaching Asst | Lecturer | At least 2 B's and none below C grade | | | | |
| Lecturer | Senior Lecturer | At least 3 B's and none below C grade | | | | |
| Senior Lecturer | Faculty | At least 1 A, 2 B's and none below C grade | | | | |
| Faculty | Senior Faculty | At least 2 A's, and none below B grade | | | | |

Notes:

1    All promotion cases must meet the minimum appointment criteria in the first instance
2    Ratings are from A to E (A= Excellent, E=Poor)
3    For promotion, the above requirements are to be met for 2 of the past 3 years of assessment.

### 17.4 Academic Workload Policy

**RATIONALE**
IAT Academies needs to employ an academic workload policy that will provide for the development of a professional academic ethos amongst its staff in the areas of Teaching, Course Development, Applied Research, Professional Development and Service.

**PRINCIPLES**
The following principles underlie the academic workload policy:

**Equity (Fairness):**
The workload of a Department should be distributed so that academic staff contribute equally, under the prevailing operational constraints bearing in mind the differing requirements accompanying different types of teaching, the need to develop less experienced staff, and the past contribution and future potential of the department's various academic staff members.

**Consistency Across Programmes:**
Within each department, the approach to determining staff contributions must be consistent over time, so that academic staff can have confidence that the department's system of workload allocation will continue to apply and agreements about teaching load will be honored.

**Resource-led:**
The workload distribution must be done in such a way that the institution gets value from the available faculty and their competencies and seniority.

**Professional Development:**
Workload policy must provide time for the personal professional development of faculty.

### 17.4.1 Definition of Academic Work

**Teaching, Learning and Course Development:**
These activities include:

- Direct classroom, laboratory and workshop contact time
- Programme and course development, including development of materials and obtaining professional accreditations
- Preparing and conducting lectures, tutorials, demonstrations and workshops, and course delivery via alternative modes
- Examination and student assessment (including invigilation of tests and examinations)
- Internal moderation of courses
- Student consultation and academic counseling including 'on-line' communication with students
- Development and maintenance of multimedia teaching resources
- Field supervision of students on in-service-training and excursions
- Graduation projects student supervision
- Field trips and industrial visits

**Applied Research:**

Applied Research activities include:

- Undertaking and publishing research as approved by the Institution
- Undertaking action-research or industrial projects.
- Research in teaching and pedagogy
- Undertaking higher research degrees or appropriate qualifications
- Submitting research proposals and Teaching development proposals
- Research supervision
- Presenting conferences papers and the like
- Editing journals and books
- Reporting on research outcomes
- Refereeing or reviewing grant proposals, journal articles and theses, and

**Administration and Service:**

Administration and Service activities include:

- Programme and course coordination
- Reporting on teaching evaluations
- Handling of student disputes, concerns and grievance resolution
- Involvement in Institutional publications
- Timetabling
- Management of academic organization sub-units or functions
- Chairing and membership of standing and adhoc committees
- Formal staff supervision and Evaluation
- Attendance at Department and Institutional meetings
- General administrative work
- Staff development for Administration, Service and Governance
- Conference organization and participation
- Consultancy and associated work (not separately remunerated)
- Contributions to and involvement with professional associations
- Contributions to and involvement with community service organizations related to the Institution
- Contributions to and involvement with business and industry
- Promotion of the Abu Dhabi Polytechnic to the community.

*Note: These lists are not exhaustive and Heads of Department may add to these based on the nature of new activities and/or services.*

### 17.4.2    Workload Determination and Remission for Other Work

Annex 1 provides the table of contact hours to be adopted across all IAT academies and the procedures for allocation.

These are determined so that they provide scope for the additional work in support of other academic activities, course development, applied research, professional development and service.

### 17.4.3    Academic workload of heads of department and deans:

Due to the essentially managerial role played by Heads of Department and Directors, the following lecture loads shall apply for such staff:

**Directors**:

- Teaching –One course per year if needed up to 10% of the Faculty Teaching Load.
- Research – 10%.
- Administration and Service – 80%.

**Heads of Department:**

- Teaching –Two lectures per week up to 30% of the Faculty Teaching Load
- Research – 10%.
- Administration and Service – 60%.

### 17.4.4    Implementation and Governance

Directors and Heads of Departments should implement the workload policy under the overall supervision of the Director and with the guidance of Academic Affairs and Timetabling Committees.

Directors and Heads of Department have the flexibility to negotiate different combinations of the percentage splits between the three major performance areas with lecturers to a variance of 10%, provided that lecturers and/or junior lecturers who are unable to make any contributions in Research in a particular year, may be allowed to make up for this by increasing their contribution in Teaching or Administration or both. Faculty with the rank Senior Lecturer or higher must make contributions in all three performance areas, provided that such faculty may negotiate bigger deviations from the prescribed proportions with their Heads of Department with approval of the Dean.

## Annex 1    PROCEDURES FOR IMPLEMENTING WORKLOAD POLICY

1    Directors will create first a teaching workload schedule based on the table below:

| | | |
|---|---|---|
| Senior Faculty | PhD holders | 20 Contact Hours (CH) |
| Faculty | PhD holders | 20 Contact Hours (CH) |
| Senior Lecturers | PhD and MSc holders | 20 Contact Hours (CH) |
| Lecturers | MSc and BSc holders | 20 Contact Hours (CH) |
| Lecturers | BSc holders | 22 Contact Hours (CH) (HD Courses Only) |
| Teaching Assts | BSc holders | 24-26 Contact Hours (CH) |
| Lab Engineers | BSc holders | 20 Contact Hours (CH) |

2.    Contact Hours (CH) to Credit Hours (CRH) Mapping

| | CH:CRH |
|---|---|
| Lecture | 1:1 |
| Lab | 2:1 |
| Clinical/Practical | 3:1 |
| Tutorial | Zero Credit Hours |

**Remark**: At any case, IAT teaching load shall comply with the CAA Standards

3.    Next, non-teaching work will be assigned to the Faculty according to their specialisations, areas of interest or special projects at the direction of the Director. These could be in the areas of:

- new programme development
- course and curriculum development
- establishing industry partnerships and linkages
- government liaison
- outreach to schools and marketing
- chairing and membership of Academy committees
- any other function as directed by the Director
- applied research

4.    For each of these activities, deliverables and outcomes must be assigned. Based on these, the Director will provide remission from teaching hours as follows:

- No class, lab or tutorial must be affected by any remission of contact hours;
- Not more than 4 contact hours remission for any single faculty; for higher emission, approval from Senior Director Academic Programmes must be obtained first;
- Total remission should not be more than an average of 2 contact hours per faculty;
- Suggested remission for committee work: 2 contact hours remission for chairmanship of committee and one contact hour for membership;

5.    One contact hour per week to be set aside for student consultation in the timetable. This is outside the teaching load.

6    Staff Development time will occur after the time-tabling is completed and the teaching workload completed according to the above.

# Appendix A – Abu Dhabi Polytechnic Organisation Chart

INSTITUTE OF APPLIED TECHNOLOGY
معهد التكنولوجيا التطبيقية
"Emiratization of Technological Careers"

**Director AD Poly** — 1 | 64

Chart 1.3.5.1

**Coordinator Finance** — 1

**Supervisor Industry/Commercial Office** — 1

**Senior Coordinator Industrial Liason** — 1

**Executive Assistant** — 1

**Manager Effectiveness & Assessment (EASA)** — 1

**Senior Coordinator Quality Assurance** — 1

**Head Satellite Campus Al Ain** — 1 | 27
Chart 1.3.5.1.1

**Senior Manager Student & Support Services** — 1 | 16
Chart 1.3.5.1.2

**Head of Program Academic Support** — 1 | 6
Chart 1.3.5.1.3

**Head of Program Degree Program ( AD)\*** — 4 | 8

\* Assignment role.

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Chairman, Board of Trustees

Chart 1.3.5.1.1

Head of Campus — 27 — 1

Senior Officer Administration — 1

Senior Officer Finance — 1

Manager EASA Training — 1

Manager Students/Support Services — 1

Receptionist — 1

Senior Officer Nurse — 1

Coordinator Facility — 1
General Assistant — 1

Coordinator IT — 1
Senior Officer IT Technician — 1

Coordinator HR — 1
Senior Officer Administration — 1

Coordinator Outreach/Career — 1
Senior Officer Student Activities — 1

Coordinator Exams & Graduation — 1
Coordinator Admission/Recruitment — 1

Coordinator Librarian — 1
Senior Officer Librarian Assistant — 1

Head of Program Degree Program (AAN)* — 4

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Chairman, Board of Trustees

**INSTITUTE OF APPLIED TECHNOLOGY**
"Emiratization of Technological Careers"

Chart 1.3.5.1.2

Senior Manager Student & Support Services/ Registra... | 16

Senior Officer Administration | 1

Supervisor Support Service | 7

Senior Officer Nurse | 1

Coordinator Facility | 1

Coordinator IT | 1

Senior Officer IT Technician | 1

Coordinator HR | 1

Senior Officer Administration | 1

Senior Coordinator Exams & Graduation | 1

Coordinator Admission/ Recruitment | 1

Sr. Officer Registration | 1

Manager Student Service | 7

Supervisor Student Services | 1

Coordinator Outreach/Career | 1

Senior Officer Student Activities | 1

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Chairman, Board of Trustees

*Organization Chart*

Chart 1.3.5.1.3

**Head Academic Support** — 6 | 1

- **Senior Officer Administration** | 1
- **Coordinator Librarian** | 1
  - **Senior Officer Librarian Assistant** | 1
- **Coordinator LRC System Support** | 1
- **Supervisor Lab/WS/HSE** | 1

Instructor Math/IT | 0

Instructor Science | 0

Instructor English | 0

Instructor humanities | 0

Teaching Assistant | 0

Instructor Math/IT (Satellite Campus) | 0

Instructor Science (Satellite Campus) | 0

Instructor English (Satellite Campus) | 0

Instructor Humanities (Satellite Campus) | 0

Teaching Assistant (Satellite Campus) | 0

All Academics positions subject to Student Numbers

December 10, 2012

Chairman, Board of Trustees

**INSTITUTE OF APPLIED TECHNOLOGY**
"Emiratization of Technological Careers"

## Headquarter – Abu Dhabi

**Head of Program \***
Petrochemical — 1

- Senior Officer Administration \*\* — 1
- Instructors — 0
- Teaching Assistant/ Lab Technologist — 0

**Head of Program \***
Information Security — 1

- Senior Officer Administration \*\* — 1
- Instructors — 0
- Teaching Assistant/ Lab Technologist — 0

**Head of Program \***
Electro-Mechanical — 1

- Senior Officer Administration \*\* — 1
- Instructors — 0
- Teaching Assistant/ Lab Technologist — 0

**Head of Program \***
Advanced Energy — 1

- Senior Officer Administration \*\* — 1
- Instructors — 0
- Teaching Assistant/ Lab Technologist — 0

## Satellite Campus – Al Ain

**Head of Program \***
Aircraft Engineering Technology — 1

- Senior Officer Administration \*\* — 1
- Instructors — 0
- Teaching Assistant/ Lab Technologist — 0

**Head of Program \***
Aircraft Maintainance — 1

- Senior Officer Administration \*\* — 1
- Instructors — 0
- Teaching Assistant/ Lab Technologist — 0

**Head of Program \***
Air Traffic Management — 1

- Senior Officer Administration \*\* — 1
- Instructors — 0
- Teaching Assistant/ Lab Technologist — 0

**Head of Program \***
Defense Program — 1

- Senior Officer Administration \*\* — 1
- Instructors — 0
- Teaching Assistant/ Lab Technologist — 0

\* Assignment role.
\*\* Filled for programs with 50+ students.
All Academics positions subject to Student Numbers

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Chairman, Board of Trustees

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