



جامعة العين  
AL AIN UNIVERSITY

# STAFF HANDBOOK 2019-2020

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AL AIN UNIVERSITY

# STAFF HANDBOOK

2019-2020





The Late Sheikh

*Zayed Bin Sultan Al Nahyan*





H.H. Sheikh

*Khalifa Bin Zayed Al Nahyan*

President of United Arab Emirates





H.H. Sheikh

*Mohammed Bin Rashid Al Maktoum*

Vice President and Prime Minister  
and Ruler of Dubai







H.H. Sheikh

*Mohammed Bin Zayed Al Nahyan*

Crown Prince of Abu Dhabi and Deputy Supreme  
Commander of the UAE Armed Forces





## Welcome Message from the President

I would like to welcome everyone to the beginning of a new academic year. Your ongoing dedication and hard work have been proven throughout the growing years of the University as you all have maintained the spirit of teamwork, collaboration and the strong determination to make this inevitable.

Secondly, and simultaneously, I would like to grab this opportunity and welcome the new staff members who have recently joined us. The start of a new academic year is always a unique time on our campuses, with new students and faculty. Moreover, we are delighted to recruit newly qualified faculty members, whose diverse areas of expertise will establish upon momentous dedication to distinction in teaching and research that portray our AAU community.

Whether recruiting faculty or staff members, registering new and old students, administering and building upon the University's infrastructure or even maintaining the image of the University at its highest standards; none of these tasks would have been achieved without your professional touches. It is very crucial to recognize that you are the University's backbone, strategic planners and developers whose professionalism is executed and observed by the faculty and students throughout every academic year.

Since you are the core of AAU, the hub of all responsibilities falls in your domains as you get to encounter the humps and bumps of higher education requirements. It is never an easy task to accomplish your duties so smoothly, as each one of you needs to have the patience and skills along with continues training and development for productive outcomes that depict the University's outlook and stance in the state of the United Arab Emirates.

This is a thrilling time in our University's history, as we start to occupy ourselves with many opportunities and challenges to come. I am profoundly appreciative to each of you and your contributions and astonishing commitment to our students. I cannot convey how much I am honoured to be the President of this remarkable and talented community. Thank you once again and wish you a great year!

**Prof. Ghaleb A. El-Refae**  
**AAU President**





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## **AL AIN UNIVERSITY OF SCIENCE AND TECHNOLOGY**

### **Overview**

Al Ain University of Science and Technology (AAU) is a university that is licensed by the UAE Ministry of Higher Education and Scientific Research. AAU is a new and rapidly growing institution of higher education, which uses English as a medium of instruction. It has two campuses; one in Abu Dhabi, the capital of the UAE, and the other in Al Ain, the 'garden city' of the UAE. Since the establishment of the university in 2005, the university's student enrolment has tripled, and now includes students from the UAE and more than other twenty nationalities.

The university offers accredited Bachelor degree programs through its various colleges (the College of Business Administration, the College of Education, the College of Engineering and Information Technology, the College of Law, and the College of Pharmacy). AAU also offers a number of graduate programs on the Diploma and Masters levels. The university has submitted proposals for additional programs to the Ministry of Higher Education and Scientific Research. Should these programs be granted accreditation, they too will be offered by AAU.

### **AAU Vision**

Al Ain University of Science and Technology aspires to be among the leading learning centers in the region by achieving international quality standards in teaching, research, and community service.

### **AAU Mission**

AAU strives to be a learning center of excellence that responds to market needs and prepares graduates who possess the scientific and technological competencies that are needed for their careers. The university plays an active role in the creation of knowledge through quality teaching and research. It values community service and nurtures partnerships with institutions and organizations through a commitment to the educational, technological, and economic development of the country and the region.

To accomplish its mission, the university will:

- I. Strengthen the university's commitment to quality undergraduate and graduate programs that are characterized by disciplinary depth and breadth, with a high level of direct interaction between faculty and students.



- II. Improve the recruitment, retention, and graduation rates within the student body, and increase the number of well-prepared and academically able students who wish to enter a nurturing environment that facilitates the development of competent and creative professionals.
- III. Continue to recruit and retain a dedicated and culturally diverse faculty body whose teaching is informed by research and embodies learning experiences which enable students to improve academically and personally.
- IV. Secure and strengthen the university's Information Technology Services and Media Services to support both the academic and administrative functions of the university, and the deployment of new and innovative teaching and research technologies as they become available.
- V. Contribute to society in general and the local community in particular, by addressing society's educational, cultural, social, and economic interests.
- VI. Foster research and support faculty members to secure the time, financial support, and cooperative collaborations to maximize their success in research, scholarship, and other creative activities.



## Introduction

At AAU, our objective is to provide the employees with a positive and safe work environment along with equal opportunities of learning by experience and career development. The Staff Handbook is designed to provide staff with information about working conditions, benefits, and responsibilities.

The information contained in this Handbook applies to all administrative employees. Following the information described in this handbook is considered a condition of continued employment and development of staff. However, this Handbook is presented as a matter of information only, and its contents should not be interpreted as a contract between the University and any of its employees.

Please read this Handbook carefully, as one of an employee's first responsibilities is to be familiar with its content.

The Handbook is a summary of our policies, which are presented here only as a matter of information. Employees should review complete policies with their managers or the Human Resources Unit if any questions arise.

In case if you have a query which is not answered in this Handbook, in your offer letter/contract, or not supported by the University's internal documents/decisions, such a query will be handled as per UAE's Labor Law No. (08) of 1980.

We wish you continued success in your career.

## **1. Definition and categories of staff**

### **1: Professional Staff:**

Professional staff is defined as having the required preparation and specialized knowledge in a specific field and in exercising independent professional judgment. These individuals are predominately responsible for the management, operation, and implementation of policies and procedures which support the AAU's mission.

### **2: Support Staff:**

Support staff includes employees who provide clerical, technical, maintenance, and administrative support to the University.

### **3: Academic Staff:**

Academic staff includes the professionals who are responsible for planning, directing and undertaking academic teaching, research and community engagement activities in the university.

### **4: Non Academic Staff:**

Non academic staff is defined as those who have to perform work assignments other than teaching.

### **5: Full Time Staff:**

Full time staff is defined as the person who undertakes his/her duty for no less than 40 hours a week. Full time staff is registered at the Ministry of Labor and has an employment contract stipulating tenure of contract, specific benefits including but not limited to fixed salaries, annual leaves, health insurance, etc.

### **6: Part Time Staff:**

Part time staff is defined as the person who undertakes the duty for less than 40 hours a week. Usually part time staff is paid on hourly basis.



## **2. Personnel management**

Personnel management addresses work week, attendance, overtime and leave policy.

### **2.1 Work Week:**

All the employees are supposed to work 5 days a week from Sunday to Thursday.

### **2.2 Attendance:**

- The normal working hours of the AAU shall be:  
Sunday to Thursday: 08:00 – 16:30  
Friday and Saturday: Off
- Employees are entitled to a 30-minute lunch break between 12:30 and 1:30.
- Any employee signing in after 8:10 is considered «Late».
- In case the employee is late, he/she needs to inform the direct supervisor as well as the HR Unit.
- Employees have an obligation to attend work as scheduled, and supervisors have an obligation to manage and address attendance issues.
- Hours of work will vary during the Ramadan period and employees shall not be entitled to lunch breaks during this time.

### **2.3 Overtime:**

- An employee works for 8 and half hours a day including a 30-minute break; overtime hours are calculated for the extra hours he/she works or the work done outside working hours.
- The overtime rate is 1.25 hours for every hour after the regular 8 hours in a single working day.
- If the employee is assigned to do overtime, an approved form, obtained from HRU, has to be filled by the direct supervisor; it has to be approved by the HRU and AAU administration prior to doing the overtime.
- An employee assigned to work outside official working hours needs to document that on a daily basis in a record as per the designated form; it has to be approved by the direct supervisor on a daily basis provided it is submitted to the HR Unit during the first ten days of every month.
- The monthly overtime remuneration for any employee should not exceed, in any case, a quarter of his/her total monthly salary.

- If an employee happens to work during a holiday, the overtime compensation will be 1.5 hours for every hour of work provided the total hours on holidays do not exceed 8 hours a day. This shall be recorded in the designated form; the same procedures for regular overtime apply.
- No employee may be assigned to work during a holiday for more than two days a month.

## **2.4 Leaves:**

### **1- Annual Leave**

- Employees are not allowed to be absent from work without getting prior written approval.
- The employee will be granted an annual leave of 30 days for each year.

### **2- Unpaid Leave**

- Any leave during the probation period is considered an unpaid leave.
- An employee will be granted an unpaid leave only after using all annual leave days, and it will only be during the summer.
- The maximum duration of an unpaid leave is 30 days and is only granted during the summer.

### **3- Sick Leave**

- An employee is granted a sick leave of no more than 90 days, consecutive or intermittent, for each year of service. The employee needs to present a medical report issued by official hospitals; the sick leave will be divided as follows:
  - ✓ 15 days – paid
  - ✓ 30 days – half-paid
  - ✓ The rest – unpaid
- The sick leave is granted after the completion of the probation period.
- The sick leave is to be reported on the same day of absence.

### **4- Hajj Leave**

- An employee is granted a paid leave of one week for Hajj.

### **5- Maternity Leave**

- The maternity leave is granted for 45 days starting from the date of delivery after the completion of one year with AAU.

### **6- Emergency Leave**

- The emergency leave is granted due to extenuating circumstances such as the death of a first degree relative.



### 3. Recruitment

The objective of the Recruitment policy is to define the basic principles to be used to ensure that the right applicants are recruited for the right positions and the recruited employees possess the required qualification, experience, set of skills and knowledge to perform their job effectively and efficiently.

#### **3.1: Recruitment Regulations:**

- The Human Resources Unit is responsible for the coordination of all procedures involved in the recruitment process.
- AAU shall give preference to UAE national over non national and internal candidate over external provided they are equally qualified.
- The successful applicant must fulfill the following requirements:
  - ✓ To be physically fit and free from transferable diseases.
  - ✓ To have good conduct and behavior.
  - ✓ To have not convicted any crime such as theft, fraud, embezzlement, forgery, bribery, or any other offense against public decency or morality or disciplinary punishment for reasons of honor or honesty.
  - ✓ To fulfill the minimum qualification and experience criteria for the position.
  - ✓ To pass the scheduled interviews and any other test conducted by HR Unit.

#### **3.2: Recruitment of immediate relatives of the employees:**

- AAU does not permit to employ immediate relatives of staff. However, this may occur on the occasion if it is in the best interest of AAU and after special approval from senior management.
- There must not be direct/indirect reporting of an employee to the relative.
- Any areas that may pose a conflict of interest need to be identified and sorted out during the recruitment process.

#### **3.3: Sources for recruitment:**

AAU uses the following sources for recruitment:

- Announcement of the vacancies is done through the AAU official website.
- Internal Recruitments, if applicable.
- AAU's own alumni database.
- Advertising in the newspapers and other media.
- Recruitment agencies.
- Participation in the career fairs.

### **3.4: Interviewing:**

Once applications are received and the most suitable candidates are screened, they are interviewed as follows:

- ✓ In the first phase, the HR Unit will interview the applicants, and shortlisted candidates will be interviewed by the selection committee.
- ✓ The selection committee consists of the relevant department head and another member of the department.
- ✓ During the interview, the selection committee should not answer any questions related to compensation/salary; such questions must be forwarded to the HR Unit.

### **3.5: Selection and offer of employment:**

Once the selection of the candidate is completed, the HR Unit shall issue the offer letter in accordance with the approved format and duly signed by the authorized signatory.

If the candidate accepts the offer and signs off the offer letter, the HR Unit shall inform him/her of the required paper work to be done including filling different forms, and submission of personal and educational credentials.

As per the requirements of the relevant department, the HR unit shall inform the candidate of the start date of duty.

### **3.6: Orientation of new staff:**

The University recognizes the need and importance of orientation .The customized Orientation schedule strives to achieve the following objectives:

- To welcome the employee to the Al Ain University of Science & Technology.
- To help the new employee develop a positive working relationship by building a foundation of knowledge about the University's history, mission, vision, values, and culture.
- To help the new employees to understand their roles and how their contributions help achieve the University's goals.
- To provide information on the University's policies, procedures, and benefits.
- To offer resources, help, and growth for each employee.
- To create a sense of excitement about their new job.

AAU uses a comprehensive set of activities for orientation purposes that include Pre- commencement Checklist and Induction Checklist. Following are the main activities to be performed:

- The HR Unit prepares for the anticipated arrival of the new employee.
- The HR Unit welcomes the new employee by emailing New Employee information to everyone at AAU.
- The new employee is invited to attend a Benefit and Records session.



- The HR Unit will introduce the new employee to different departments that will provide functional support from time to time.
- The new employee is sent to the Head of Department/Manager who introduces the employee to the position, department, and co-workers.
- After receiving the username and system login information, the new employee attends the orientation sessions separately conducted by systems support staff, library support staff etc.
- The new employee and Department head return the completed and signed checklists to the HR Unit.
- The employment refers to the campus and recruitment; however, your services are subject to inter-department or inter-campus transfers.

#### **4. Probationary period**

The standard probationary period is set as six months for all the administrative staff.

During the period of probation, the department head will evaluate the performance of the employee from time to time.

If the employee's performance is not satisfactory, employment may be terminated by AAU at any time during the probation period without any notice. An employee who resigns or gets terminated during the probation period is not entitled to severance pay.

#### **5. Duration of contracts**

The standard contract duration for administrative staff is one year, and it is renewable if both parties mutually agree. The duration of the contract may vary for different positions at the sole discretion of AAU.

#### **6. Procedure for contract renewal**

According to AAU's comprehensive evaluation process, the staff member is evaluated by the Department Head. The department head reviews the results of the previous yearly evaluation and take into account the effectiveness of the staff member during the course of performing his/her duties.

Based on the overall performance evaluation, AAU makes the decision whether or not to renew the staff member's contract.



## **7. Resignation and termination of an employment contract**

### **7.1: Resignation:**

Notice of resignation may vary according to the nature of position. Staff are requested to refer to their contracts before the submission of the resignation. The minimum notice period for standard contracts is one month. If a staff member fails to submit the required notice, procedures mentioned in the UAE's Labor Law No. (08) of 1980 will apply.

A resignation letter must be submitted to the relevant head of department. Once it is approved, it must be forwarded to the HR Unit for further processing.

### **7.2: Termination:**

In case the contract is terminated by AAU, the concerned staff member will receive the notice as stipulated in the employment contract. AAU may waive the notice period and compensate the salary at its sole discretion. Termination can be due to any of the following reasons:

- ✓ Government directives;
- ✓ Workforce reduction;
- ✓ Restructuring;
- ✓ Failure to return from approved leave of absence;
- ✓ Release due to medical unfitness;
- ✓ Continued poor performance ;
- ✓ Gross misconduct.

**In accordance with article 120 of UAE's Labor Law No. (08) of 1980, AAU may terminate the contract without prior notice and without severance pay in any of the following cases:**

1. If the worker adopts a false identity or nationality or submits forged certificates or documents;
2. If the worker is engaged on probation and is dismissed during the probation or on its expiry;
3. If the worker makes a mistake resulting in substantial material loss for the employer, on condition that the latter notifies the Ministry of Labor of the incident within 48 hours of his/her becoming aware of its occurrence;
4. If the worker disobeys instructions respecting industrial safety or the safety of the workplace, on condition that such instructions are in writing and have been posted up at a conspicuous place and, in the case of an illiterate worker, that she/he has been acquainted with them orally;



5. If the worker does not perform his basic duties under the contract of employment and persists in violating them despite the fact that he/she has been the subject of a written investigation for this reason and that he/she has been warned that he will be dismissed if such behavior continues;
6. If the worker reveals any secret of the establishment in which he/she is employed;
7. If the worker is finally sentenced by a competent court for an offence involving honor, honesty or public morals;
8. If the worker is found in a state of drunkenness or under the influence of a drug during working hours;
9. If, while working, the worker assaults the employer, the responsible manager or any of his work mates;
10. If the worker is absent from his/her work without a valid reason for more than 20 non-consecutive days, or more than seven consecutive days, in any one year.

## **8. Records maintained for staff**

The HR Unit maintains a file for each staff member. Each file contains, but is not limited to, the following:

### **8.1: Personal Information:**

This part contains the employee's C.V, personal photo, valid passport copy with residence visa for employee and dependents, valid UAE ID copies, contact details, health insurance records etc.

### **8.2: Qualifications:**

In this section, true copies of all the verified academic credentials are placed in addition to copies of experience certificates, special achievement certificates, training certificates, etc.

### **8.3: Offer Letter and Contract:**

This section provides information about the offer letter detailing the salary, valid MOL contract, date of commencement of work, and date of end of contract.

### **8.4: Leaves Information:**

In this part of the file employee's leaves are recorded and categorized according to the type of leave; annual leaves, sick leaves and other leaves.

### **8.5: Other Documents:**

In this part, all those documents issued by AAU for the staff and upon their request are documented.

## **9. Staff compensation and benefits**

AAU adopts its own system of compensation and benefits which is mainly based on the employee's position, nature of job, and responsibilities. It also takes into consideration the qualification, experience, and any distinguished accomplishments the staff may have achieved.



## 10. Promotion Policy

### 10.1 Overview

It is AAU's goal to ensure maximum opportunity for promotion of employees, consistent with the commitment to institutional needs and excellence, affirmative action, equal opportunity and applicable contractual agreements. It is the policy of AAU to enhance the upward mobility of staff members through promotion as well as complement the present practices at the university which allow for personnel development.

The policy is based on the recognition that in the course of meeting institutional objectives, the duties and functions of an employee may change in complexity and responsibility. Promotions, therefore, are based on status changes that involve increasing responsibility levels. The added benefits of promotion serve as an incentive for better work performance, enhance morale, and create a sense of individual achievement and recognition. While good past performance enhances the validity of the promotion, it should, by itself, neither be the primary nor the sole reason for recommending a candidate for promotion.

Managers seeking to promote staff members in their respective areas are reminded to pay particular attention to past annual performance evaluations. These documents indicate prior performance levels and accomplishments in the department illustrating, for example, how effectively the tasks assigned were completed.

### 10.2 Promotion Policy Statement

For the purpose of this policy statement, a promotion is defined as advancement to a different position which has increased responsibilities and adjustment to a higher salary level.

It is recognized that a promotion may occur through the following:

- **Reclassification of the existing position:**

A reclassification of the individual's existing position as a result of the individual performing duties at a higher degree of responsibility and complexity than the current classification calls for. This requires an audit of the position through the job evaluation process.

- **Filling of an existing higher level vacancy :**

This happens when an existing higher level vacancy is filled by a promotable individual at a lower classification.

Both processes must include a current job description and a new job description of the individual being promoted. Accordingly, it is within AAU policy to provide internal employment to qualified candidates through intradepartmental and interdepartmental promotion whenever possible. The criteria used when considering employees' qualifications for promotion must be fair and unbiased, and all university employment policy requirements must be fully met and documented. Employees are to be considered for promotion regardless of age, sex, race, color, national origin or physical impairment.

### **10.3 Eligibility**

All AAU employees who have successfully completed three years specified by conditions of employment or contract are eligible to be considered for promotion if available. They are encouraged to review all job vacancies circulated to each department and posted on the AAU's website on a regular basis.

Supervisors should also be aware that promotable candidates need only satisfy the qualifications as specified in the job description and not the qualities, skills or knowledge of the candidate.

### **10.4 Implementation**

Supervisors should encourage all support staff members within their areas of responsibility in the pursuit of career advancement and should ensure that all qualified internal applicants, are duly considered for vacancies in their unit before recruiting outside candidates.

**For the implementation of the promotion policy, the following criteria must be met:**

- The positions are in the same department, and one position genuinely prepares the employee for the next. This allows for upward movement within the same or related family of job groups where skills are easily transferable.
- The employee has already demonstrated the ability to perform the higher job.
- The employee has met any special requirements such as a course or a skill.
- The department must be able to demonstrate a satisfactory past record of the employee.
- The employee has no warning in his file for the past 3 years.
- The unique and specialized requirements (including but not limited to qualifications, experience, personal attributes, professional skills) of the open position justify promotion.



## **10.5 Procedures for promotion**

### **• Responsibilities of Appropriate Dean, Department Head or Manager**

A completed Promotion Application Form (available at HR Unit) is signed by the Dean, Department Head or Manager and submitted to the HR Manager. The “current status” of the candidate and the recommended “new status” should be stipulated. Accompanying the Promotion Application Form should be the following documents:

- ✓ A memorandum justifying the reasons for the recommendation. If the promotion exists either through the filling of a vacancy or through a reclassification, all relevant data chronicling the person’s most recent evaluation(s) and the criteria being evaluated should be included. Also included should be a statement of functional and organizational changes within the department impacting the position; other data such as, but not limited to, include: proof of added qualification; completion of job related service training courses which enhance current job knowledge and skills.
- ✓ A current job description of the candidate.
- ✓ A copy of the vacant position or a statement outlining the new duties and responsibilities to be evaluated.

### **• Responsibilities of the HR Manager**

The HR Manager shall review all aspects of the promotion with respect to payroll, salary, benefits, grade change, title change, effective start date and the organizational structure affected by these movements. Upon completion of this review, the HR Manager forwards all materials to the Senior Management. Upon completion of analysis, the Senior Management will approve or decline the promotion request.

### **• Effective Date of Promotion**

A promotion becomes effective from the date of approval from the Senior Management.

## 11. AAU general policies

AAU has developed general policies to establish the principles of ethical and disciplinary conduct by which employees conduct business on behalf of the AAU. It also provides the basic guidelines for general behavioral standards for the employees in order to create a healthy work environment.

### **11.1: Code of Conduct:**

- Employees must fulfill the job responsibilities assigned to them faithfully and accurately, and dedicate the working hours to carry out job responsibilities and all instructions and orders of superiors. Moreover, they must undertake to preserve the moral and financial interests and means of the AAU against any material or moral loss or damage and undertake to avoid any violation or breach of laws, regulations, and instructions enforced in the AAU.
- The employee's benefits mentioned in the contract are subject to the AAU policies and the AAU has the right to change, modify or cancel these benefits as the policy changes.
- Due to the nature of their work with the university, employees will come across information, data, procedures, methodology, systems, accounts, profits and losses of the AAU, related to conducting business transactions, strategies, students, and clients; therefore, during their employment and two years after resignation or termination or end of services, employees cannot practice any competitive transactions inside the UAE.
- AAU prohibits any form of disclosure or dissemination of confidential information obtained by the employees during their work at AAU. Employees shall treat as confidential any information or records, regardless of their format, conveyed to them on the basis of confidential information.
- Employees are responsible for proper handling of and care for tools, equipment, vehicles etc provided by the AAU, and they must not use the AAU Assets for private purpose without authorization.
- In case of resignation and/or termination of services, employees shall deliver all the university clientele lists and files, and all plans, statistics, documents, and belongings including, but not limited to, keys, books, materials, software, and credit cards in their possession that are directly related to the AAU, the students, and other concerned parties. They shall not have the right to keep any hard or soft copies in connection with the above mentioned issues.
- During the term of employment or at any time subsequent to its termination, employees shall refrain from inducing, soliciting, or aiding any of AAU's employees, consultants or other persons having a contractual relationship with



- the University to leave such employment, cease advising or counseling, or terminate any other contractual relationship with the University.
- Employees should maintain the highest standards of honesty, integrity, impartiality and conduct to avoid situations that could create or lead to a conflict of interest. AAU expects its employees to avoid any personal activities and financial interests which may conflict with their commitment in effectively performing their jobs. Any conflict of interest arising during the employment period has to be communicated to the relevant authorities.
  - There are Reserved Areas of Business that include matters affecting the appointment, promotion and personal affairs of individual members of staff of the University and matters affecting the admission of individual students, their academic assessment and the consequences thereof, or personal affairs or circumstances. Subject to the above, AAU may decide in any case of doubt whether a matter is a reserved area of business or not and such a decision shall be final.
  - Employees should accept the obligation to exercise critical self-discipline and must not create any kind of relationship with students of same/opposite sex. They must avoid any kind of exploitation, harassment or discriminatory treatment towards students. Evidence of any such incident will lead to serious repercussions.
  - Employees must not receive any kind of gifts/personal benefits from the students/parents or persons associated with a student/parent inside or outside the university. If received so in an unavoidable situation, it is mandatory to inform the management. Any action contrary to the above mentioned will lead to serious disciplinary actions including termination of contract.
  - Employees must not exploit their position to intervene with academic affairs of any kind including, but not limited to, grades, registration, marks, privileges etc. Any kind of connection between administrative staff and academic staff regarding academic affairs is prohibited.
  - To work for another employer, whoever it may be, during the service with AAU constitutes a gross misconduct.
  - Employees must not disclose any information related to their salary and benefits inside/outside AAU.

### **11.2: Misconduct:**

Misconduct involves a contravention of above mentioned obligations. Serious misconduct involves serious and/or repeated contravention of the above obligations. Misconduct may lead to reprimand and warning. Serious misconduct, if established, will usually lead to dismissal.



### **11.3: AAU No Smoking Policy**

AAU is committed to providing a smoke-free environment to protect the health and comfort of members of the university community from the adverse effects of tobacco smoke. This policy shall be implemented by the following rules and regulations, which may be changed from time to time.

#### **Rules and Regulations**

- There shall be no smoking of tobacco products within any building or facility owned or operated by the University.
- Smoking is permitted in the outdoor areas of the university premises.
- While all other buildings and facilities on University property are smoke-free, it should be particularly noted, there shall be no smoking in:
  - ✓ conference rooms, classrooms, laboratories or lecture halls;
  - ✓ auditoriums;
  - ✓ offices;
  - ✓ libraries and bookstores;
  - ✓ cafeterias and food and beverage service areas;
  - ✓ storage or warehouse areas, and anywhere that hazardous substances are found;
  - ✓ corridors, lobbies, entries or stairways;
  - ✓ sports or recreational areas.



## 12. Performance Evaluation

### 12.1 Overview:

AAU always encourages the employees and facilitates their growth and satisfaction within the AAU. For this purpose, the formal “Performance Evaluation System” provides the basis for decisions regarding confirmation, promotion and annual appraisal of AAU staff strictly on merit. The objective of this policy is to specify the central functions and procedures of AAU’s Performance Management System’s framework. This policy covers all permanent full time administrative staff members.

### 12.2 Policy:

- The AAU performance management system focuses at encouraging a performance driven work environment that can ultimately urge good performers to improve further and help to manage underperformances through proper monitoring and guidance. It also aims at providing a fair review of the employee’s performance during the year as an essential part of employee development.
- All the managers are required to set goals for their departments/units; these departmental goals must be aligned with the AAU’s Mission and Vision. Additionally, managers should discuss their departmental objectives/performance with the senior management on appropriate basis and submit the status reports. The evidence on such activities will be used as a major tool to measure the performance of the managers.
- In light of the department/unit goals, managers are required to set the objectives of the employees. These objectives must be defined and handed over to the employees by the beginning of the year (by using the Performance Evaluation form available at the HR Unit). In case of new recruitment, objectives must be defined and discussed during the first three months of hiring.
- Employees are required to be familiar with the goals of AAU as well as those of their department/unit. It will help the employees to demonstrate better understanding for individual objectives and to participate in the performance discussions.

### 12.3 Process of performance review

The performance review will take place as follows:

#### • **Employee’s Confirmation:**

All new employees will be appraised one month prior to the completion of

probation (Probation period will be of six months). In case of satisfactory performance, their services will be confirmed, and a Confirmation Letter will be issued by the Human Resources Unit. In case of unsatisfactory performance, services may be terminated.

- **Annual Performance Review:**

This will be conducted once a year. AAU may set a specific period for annual performance review.

- **Contract Renewal:**

Performance review must take place at least three months prior to the employee's contract renewal.

The performance management system is comprised of three basic activities: setting objectives and conveying them to the employees at the beginning of the year, monitoring the performance during the year, and reviewing the performance and objective achievement at the end of the year.

Aside from the above mentioned formal activities, employees and managers are encouraged to frequently conduct less formal meetings in order to discuss progress or any hindrances in objective achievement.

Performance review meetings must be based on the principle of two-way communication. The employee is encouraged to discuss issues related to the job and performance, career plans, etc. Managers are encouraged to provide constructive feedback on the employee's strengths and areas for improvement.

Managers are required to maintain proper record of the individual performance in case it is important to attach it to the performance review form as evidence.

The HR Unit will be responsible for supporting Performance Management activity through providing guidance to managers and employees. The HR Unit is also responsible for performance improvement needs including training and corrective actions.

AAU may use different tools to support the performance management system; these may vary between employee categories and various departments.

Based on the results drawn from different tools of performance management system, and in appreciation of the members of staff, AAU management selects "Employee of the Year" which is considered to be one of several motivational activities for staff. The selection criteria include outstanding performance as well as contribution to the community at large.



## 13. Performance improvement policy

It is the policy of AAU to provide counseling support and development to employees whose performance is below average or unsatisfactory in order to assist them to meet the job requirements and to prevent the need for disciplinary action or termination.

AAU is keen on providing each employee with the direction, development and counseling necessary to assure a productive and rewarding career. If the employee's performance is substandard (i.e. below established expectations) on a sustained basis, additional counseling and direction may be rendered.

### **13.1 Definition of unsatisfactory performance:**

Performance may be unsatisfactory in a number of areas; these include, but are not limited to:

- Performance (quality or quantity) does not meet the requirements of the job.
- Work is consistently off schedule.
- The employee does not meet generally accepted standards of employment (e.g. excessive or sustained absenteeism or tardiness).
- Inability to maintain satisfactory working relationships with others.

**Employees whose performance appears to be unsatisfactory, on a sustained basis, in any of the above categories, should be provided the following phases of counseling:**

#### **Phase – 1**

At the first sign of unsatisfactory performance, the Department Head/Manager should:

- ✓ Meet with the employee for a formal discussion of performance.
- ✓ Clarify expectations, which are not being met.
- ✓ Discuss specific performance problems.
- ✓ List specific expectations for improvement.
- ✓ Provide the employee with a dated written summary of the discussion, including a statement describing the performance problems and a list of specific expectations for improvement.
- ✓ Closely monitor the employee's performance for a period of at least one month following the discussion.

#### **Phase – 2**

If improvement has occurred, the manager should provide feedback to the employee on the improved work performance.

**If improvement has not taken place:**

- ✓ The employee should be placed on a formal performance improvement plan for a specified duration (typically three months or more). The Human Resources Unit should be informed of the plan.
- ✓ The supervisor should again specify improvements which must be made during this time frame and suggest development actions to assist the employee in making the improvement required.
- ✓ The supervisor should specify future disciplinary action to be taken if improvement is not made during the improvement plan period.
- ✓ The supervisor should monitor performance closely during the improvement plan period. It is also critical that the managers provide frequent guidance and counseling to assist the employee in making the desired improvements.
- ✓ At the end of the improvement plan period, the supervisor should formally review performance with the employee.

If performance has improved, the employee should be taken off the formal improvement plan and reminded that improved performance is now expected to continue. If performance has not improved or it regresses at a later date, appropriate disciplinary action will be taken. Documentation of unsatisfactory performance will remain in the employee's personal folder for three years. At the end of three years, the documentation should be destroyed if the employee's performance has been fully satisfactory during the interim period. The major objective of this policy is to improve marginal or unsatisfactory employee performance and to prevent further deterioration of the employee's work performance. A second important objective is to make certain that when an employee's continued employment is under question, the employee will be provided support, assistance and guidance from the management - before disciplinary action becomes necessary.

**13.2 Exceptions:**

It is recognized that there may be occasions where it is not in the best interest of either the employee or the university to continue an employment relationship. In such situations, the use of a formal performance improvement plan may be waived, with the concurrence of the department head/manager and the Human Resources Unit. Such exceptions should be rare, and waiver of the performance improvement plan should be considered only in situations where, after careful thought, it is concluded that a period of formal performance counseling will most likely not bring about the changes in performance or work relationships that are necessary. The senior management's approval to such an exception would be a mandatory requirement.



## 14. Professional development

At AAU, opportunities for career development and training are open to all employees. All employees will be provided with every opportunity to acquire the range of training, Skills and experience necessary for their job and career development.

Opportunities for training will be based on the requirements of the job, and career development will be based on people's abilities and merit. AAU is committed to a relevant training and career development policy for all staff irrespective of background. Announcements of training programs are mailed to staff members or invitations are extended through department heads. Employees who wish to enroll in training courses must have prior approval from their Managers.

Further, the University encourages the participation of employees in programs offered or sponsored by the Human Resources Unit. Supervisors may allow paid release time to attend such programs provided that the seminar, workshop, or course is reasonably related to an employee's existing job or a future position to which the employee may reasonably aspire.

Promotions and interdepartmental transfers are also encouraged for staff members' professional development.

## 15. Staff participation in committees

Committees serve many purposes, e.g. gathering staff skills and resources; distribution of work; sharing of information, ideas and expertise; and opportunities for involvement and professional growth. The University acknowledges the importance of staff participation in the committees and feedback from the professional staff is considered of utmost importance in order to take any decision related to AAU and its stakeholder's interest. Committee members (drawn from all levels of staff) are selected and appointed by Management based on expertise and/or position. Most importantly, individuals are selected based on the contributions they can make to the particular work of the committee. Staff members actively participate in the different committees such as:

- The Student Disciplinary Committee
- The Student Grievance Committee
- The Grants and Financial Aid Committee
- The Budget Committee
- The Library Committee

## 16. Grievance management policy

This section outlines the procedures by which the staff may raise any concerns related to the work. These concerns can be any of the following in nature:

- Concerns related to individual work relationship in the university.
- Concerns related to working conditions/situations.
- Concerns related to employment terms and conditions.

The employee should first work informally with the administrators (immediate supervisor, Manager, Dean and HR Manager) to resolve the matter. Experience indicates that almost all the cases can be resolved informally. The process should reflect mutual trust, respect and cooperation.

In case the matter is not resolved informally, the employee can use the formal proceedings as mentioned below:

- The employee shall report the matter in writing to the immediate supervisor.
- Where the issue is not resolved through the immediate supervisor, the grievance should be reported to the Department/unit head.
- The Department/Unit head shall meet with the relevant parties, review the matter, and arrive at a decision within five working days after the meeting is held. The decision should be communicated to the employee in writing.
- In case the employee is not happy with the decision, further appeal can be made to the HR Manager. The decision of the HR Manager is considered final.

## 17. Discipline

An employee who is deemed to be in breach of any of the AAU standards of performance and conduct shall be subject to disciplinary measures. These disciplinary measures may include any of the following:

- Verbal warning
- Written warning
- A fine
- Disciplinary investigation
- Loss of due increment
- Loss of due promotion
- Dismissal



In the case of verbal warning, the employee's immediate supervisor shall discuss with the employee the problems giving rise to disciplinary measures and give him / her, an opportunity to solve the problem.

A written warning may be imposed on the employee after reviewing the circumstances, hearing the employee's defense and consulting with the HR Manager. A record of a written warning shall be given to the employee and a copy shall be placed in the employee's file.

In case of a matter/issue that requires an investigation, a written case including a set of all the relevant documents must be forwarded to the investigation committee.

- The committee is to record all the findings and the conclusion in a report that must be signed by all members of the committee on each page.
- The report should be submitted to the HR Manager who, in turn, takes a swift correction action based on the recommendation of the Investigation committee.
- Based on the findings, a letter is prepared by the HR Unit mentioning the type of the penalty imposed on the employee. This letter must be signed by the employee upon receiving it.
- If the employee refused to receive a warning or a penalty letter, it must be sent to his/her official mail address and/or two people must testify to the refusal of receipt of the letter by employee.

During the investigation, the employee may be suspended with or without pay. The period of suspension shall be considered from the date the incident is reported until a decision is rendered on the matter.

The results of a disciplinary investigation may include any of the above mentioned measures including termination of employment.

All disciplinary decisions other than a verbal notice or warning shall be communicated in writing to the employee and a record shall be placed in the employee file.

In the event executive employees are subject to disciplinary investigation, the matter will be handled through the President's or Chancellor's Office.

## **18. Appeals**

The employee may appeal the disciplinary decision by presenting his / her appeal in writing to the University President within two weeks of the date on which the disciplinary decision is communicated to him/her in writing. Upon receiving the appeal, the administrator shall review the matter. The decision on the appeal shall be issued within two weeks and will be considered final.



## **19. Benefits and restitution for deceased staff members**

### **19.1 Restitution**

The family who survives a deceased staff member is entitled to the following:

- The salary for the whole month during which death occurred.
- The staff member's heirs are entitled to a maximum restitution of three gross monthly salaries.
- Should a staff member be physically incapacitated and consequently his/her contract is terminated, the staff member's heirs are entitled to a restitution of three gross monthly salaries in addition to any other benefits stated in the employment contract.

### **19.2 Transportation of the deceased's remains**

The university shall pay the expenses of transferring the remains of a deceased staff member to the staff member's country of origin in addition to travel expenses of one person to accompany the remains. The university shall honor all the deceased faculty member's rights stated in the contract including the end of service benefits.







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