Procedural Guidelines
for Renewal of Licensure

2011

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Licensure in the United Arab Emirates is institutional (as distinguished from programmatic) in nature and applies to the entire institution of higher education. It is the process by which an institution is authorized to provide regular, theoretical, practical or applied curricula of one academic year or longer beyond the UAE Secondary School Certification (or the equivalent) that lead to a certificate, a diploma, or an academic degree (associate, baccalaureate, post-graduate).   Without authorization from the Ministry of Higher Education and Scientific Research (Ministry), an institution cannot award certificates, diplomas or academic degrees.

All of the institutional and programmatic policies of the Commission for Academic Accreditation (CAA or the Commission) operate on the principle of integrity.   Integrity in the accreditation context is best understood as involving an open process of peer review including that of applying professional judgment, and the conscientious application of the *Standards for Licensure and Accreditation*. An institution is expected to be transparent in all of its transactions with the Commission, and with students, the academic and larger communities it serves, and all its stakeholders. Evidence of withholding information, providing inaccurate information, failing to provide timely and accurate information to the Commission, or failure to conduct a candid Self-Study in compliance with the *Standards,* and/or other similar practices, will be seen as the lack of a full commitment to integrity. Evidence of submitting material that is not substantially original to the institution and the work of the institution's officers or employees (including contract employees), shows a lack of commitment to integrity. Failure of an institution to adhere to the principle of integrity may result in the loss of licensure.

The renewal of licensure, paralleling the initial licensure process, is one of the ways through which the CAA and the Ministry provide Quality Assurance for post-secondary education in the UAE. The standards, policies, and procedures adopted by the Ministry to establish and operate institutions of higher education are designed to promote high quality institutions and to assure prospective students, their families, employers, and other interested parties that licensed institutions meet standards of quality consistent with current international practice and professional judgment.

Licensure applies to the entire institution and all its activities. In order to have licensure renewed, the institution must submit a Self-Study which addresses the questions found in these *Guidelines*. The Self-Study is a self-critical and analytical document which clearly shows the ways in which the institution is addressing the *Standards*, identifies strengths and weaknesses of the institution and outlines plans for addressing the weaknesses. The institution must also submit required documentation as listed in these *Guidelines*. It is expected that the documentation will come as Appendices to the Self-Study. It is further expected that references to the documentation in the Self-Study will be specific as to the document and page. It is anticipated that when representative items such as a contract, faculty file, or course file are used as documentation, only a sample will be provided. The CAA does not need nor does it expect to review every contract or every syllabus as part of the renewal of licensure.

Both licensure and accreditation operate in the context of published *Standards for Licensure and Accreditation (2011)*. The *Standards* are inclusive of *Stipulations* which are frequently referenced in these *Guidelines*. Any reference to the *Standards* should be considered a reference, as well, to the *Stipulations*. For a copy of the latest edition of the *Standards for Licensure and Accreditation*, consult the CAA website or contact the Commission for Academic Accreditation at P.O. Box 45133, Abu Dhabi, UAE. The most current edition of the *Standards* is that published in 2011.

The Licensure processes are managed by the Commission for Academic Accreditation (CAA), on behalf of the Ministry. More information on the CAA is found on the website (http://www.caa.ae). Once Initially Licensed an institution must subsequently apply for Licensure and renew its License no less than once every five years. These *Procedural Guidelines* (hereafter *Guidelines*) are specific to the application for Renewal of Licensure. The full process for Renewal of Licensure is depicted in the flow diagram (Figure 1).

Throughout the process of applying for licensure, institutions are encouraged to work with the Commission staff. After initial contact with the Commission, the CAA Director will designate a Commissioner who will serve as liaison. While the Commission can assist an institution with the renewal process, the burden of fulfilling the requirements for the renewal of licensure falls on the applicant institution.

Applying for Licensure or the Renewal of Licensure

The application for licensure or the renewal of licensure consists of the following:

- A letter from the chairman of the board and/or CEO [usually the President or Chancellor but sometimes the Provost] requesting the renewal of licensure through the Commission for Academic Accreditation. The letter must verify that the institution has maintained the accreditation of all of its academic programs.

- Application form for licensure [available on the CAA website]

- Three hard and electronic copies of a Self-Study which addresses the questions outlined in the Appendix to these *Guidelines*. The Self-Study is expected to be a critical analysis of the institution and include an identification of weaknesses and/or challenges facing the institution, but also which steps, on the basis of the Self-Study, the institution is taking to address those weaknesses/challenges.

- Three hard copies and electronic copies of the following documents:

  - Mission, Goals and Objectives (unless included in the *Catalog*)
  - Institutional Fact Book
  - By-Laws of the Governing Body (unless included in the *Policies and Procedures Manual*)
  - Organization Chart
  - Policies and Procedures Manual comprising all institutional policies
  - Faculty/Staff Handbook
  - Catalog
  - Student Handbook
  - Annual Financial Reports for two previous fiscal years (including most recent Auditor's Report and Management Letter)
  - Strategic Plan
  - Facilities Master Plan
  - Institutional Effectiveness/Quality Assurance Manual
  - List of Accredited Programs
  - List of Programs with pending accreditation
  - List of other accreditations, institutional (such as an accrediting body from the UK, the US or Australia) as well as programmatic (such as ABET or AACSB).
  - Other attachments which serve as supporting documentation for the Self-Study.

Note: All documents should be current at the time of the submission of the application. Incomplete applications or applications without the required documentation will be returned without comment by the Commission. More information on the required contents of these documents is found in *Stipulation* 1 of the *Standards.*

Procedures for Submission of the Application

- Meet with the Commission (and an external consultant if deemed necessary by the CAA).

- Submit any additional documentation required by the Commission staff and/or submit revised versions of the basic documents, such that all documentation conforms to the *Standards.*

Tips for the Submission of Applications

- Submit materials in spiral bound or hard bound format. Do not send notebooks.

- Be sure to number pages.

- Include a Table of Contents.

- Electronic copies may be either a CD or a flash drive.

- Electronic copies should be hyper-linked.

- Be sure to include all documents and that all are properly labeled.

Deadlines for the submission of the Renewal of Licensure application

- Applications must be submitted at least six months prior to the expiration of the current license. The Commission will institute the Renewal of Licensure process as quickly as possible after the receipt of the Application. The review process may, if no additional documentation is required, take up to 60 days and will include a site visit by the Commission.

- Given that there are often required responses (see "Review Process" below) in the Renewal of Licensure process, the total amount of time from the first Application to the completion of the process may take longer depending on the speed with which the institution responds to any queries which come from the initial CAA review.

- The institution is responsible for monitoring deadlines related to the Renewal of Licensure.

Financial Commitments of the Renewal of Licensure

- Costs for Renewal of Licensure, whether handled by the Commission, itself, or involving also an external consultant or consultants, are covered by the institution.

- The Ministry reserves the right to impose fees for institutional licensure.

Review Process

- The review of applications for Renewal of Licensure is handled by the Commission, and may also involve an external consultant or consultants as necessary.

- The reviewers prepare a written report that will be the basis for actions by the Commission.

- The review process may include the necessity of obtaining more information or seeking clarification on particular aspects of the Renewal of Licensure application. Institutions are urged to respond quickly to requests for additional information or clarification so as not to impede the process of review and the ultimate Renewal of Licensure.

- The report and the Commission actions will be conveyed in writing to the Institution.

Report of the Commission

- The report will include those matters not in compliance with the S*tandards* which are termed "Recommendations," and which identify actions the institution must take in order for the program to be initially accredited.

- The report will also include "Suggestions" which are advisory, but which must be responded to by the institution.

- The report may also include constructive narrative with ideas for possible improvement in the proposed program.

- The report may include "Commendations" which constitute a recognition of actions taken by the institution which go beyond normal expectations, or as a means of recording an outstanding performance.

Responding to the Report of the External Review Team

Reports received from the CAA have a consistent format to them in that reports for all processes are aligned with the *Standards* and present summary statements of compliance and/or non-compliance with the *Standards*. In those instances where there is a Recommendation or a Suggestion, the reasons for the Recommendation or Suggestion will be delineated. The institution must respond to all Recommendations with a narrative statement of response and supporting documentation (usually presented in an Appendix). The institution must consider all Suggestions, although the institution is not required to comply with Suggestions. Unless otherwise specified, an institution has 60 days to respond to the report. Extensions to the 60-day deadline may be granted; institutions should request extensions through an e-mail and/or letter to the Director of the CAA.

Outline for Response Reports

Institutional responses to CAA reports should follow the following outline:

- Introduction: This section is used to summarize the institution, the nature of the report as sent by the CAA and the nature of the response.

- Responses: As in the examples below, the institution should re-state the Recommendation (including number) and then offer its response. Responses should be accompanied by supporting documentation as appropriate. Documentation may be presented either in the text of the response or as appendices to the response.

Examples of Responses

Recommendation 1:   [Name of Institution] is required to ...

Institutional Response: [Name of Institution] accepts this recommendation and has taken the following steps to address the concern of the Commission. The outcome of this review and follow-up on this recommendation is documented in Appendix 1 of this report.

Suggestion 1: The Commission suggests that [Name of Institution] ...

Institutional Response: [Name of Institution] found this suggestion most helpful (or not) and is undertaking the following steps...

Note: Institutions are not required to adopt suggestions. It is expected, however, that institutions indicate whether or not the suggestion is adopted.

Tips for Completing Response Reports

- Be sure to respond to each Recommendation and each Suggestion.

- Supply appropriate documentation and clearly identify which documentation supports which institutional response.

- Be aware of deadlines.

- Submit two hard (paper) and two soft copies (CD or flash drive) of the report.

- Direct the report to the CAA Director.

Evaluation of the Response

The Commission's evaluation of the response will be organized in terms of the Recommendations and Suggestions. Those recommendations which are satisfactorily addressed will be indicated as "Recommendation met." Those that are not satisfactorily addressed will be indicated as "not met" or "partially met" with a narrative or action statement to indicate what is still needed. Suggestions which have been addressed will be indicated as "Suggestion adopted" or "Suggestion not adopted."

Follow-Up Responses

After the review of the initial response by the Commission, there may be a need for further information, documentation or another response. Institutions will be notified through a cover letter as to exactly which

recommendations need further response. Institutions should use the format described above for these follow-up responses. Institutions are urged to follow-up on only those recommendations where a response is requested in the Commission's evaluation letter.

Action by the Commission

After review of the application, the Commission may recommend to the Minister one of the following:

Approval

Renewal of Licensure is granted for up to five years and the institution is permitted to continue offering accredited programs in the UAE. The concept of "approval" encompasses the following:

- The institution may receive unscheduled visits from the Commission to ensure that it continues to meet the requirements of the *Standards*. Failure to meet the *Standards* may result in loss of licensure, as determined by the Minister.

- A licensed institution is required to identify its status as licensed by the Ministry in all documents and advertising.

- A licensed institution is required to comply with the Commission's requirement for reporting data and submitting other required reports typically on a semi-annual basis.

- Licensure does not imply the accreditation of any programs. Accreditation is a separate process; each academic program must be accredited before the institution may admit students to it or offer its curriculum. The Renewal of Licensure does imply that all currently offered programs of the institution are accredited through the CAA.

- Representation of Licensed Status**:** The Ministry recognizes only accredited academic programs at licensed institutions. After an institution is licensed, each academic program must be initially accredited before it can be offered, and continued licensure indicates that all programs have been accredited. The Ministry makes known to the public, government agencies, and interested international parties those institutions that are licensed in the UAE, and publishes their names on its website. Institutions placed on probation or denied licensure may not state or imply in any of their materials, official or unofficial, that they are either licensed or recognized by the Ministry. In its publications and advertisements only a licensed institution may state or imply that it is recognized in the United Arab Emirates by the Ministry. When an institution's licensure is approved, it may refer to its status as either "licensed" or "recognized" by the Ministry of Higher Education and Scientific Research. It must note its status in the catalog, prospectus, and other publications intended for the public, using this statement:
  [Name of Institution], located in the Emirate(s) of [insert name(s)], is officially licensed from [day, month, year] to [day, month, year] by the Ministry of Higher Education and Scientific Research of the United Arab Emirates to award degrees/qualifications in higher education.

  Probation

  If an institution is placed on probation, the institution must correct any deficiencies noted to the satisfaction of the Commission within a specified period of time. At the end of the probationary period, the Commission makes a recommendation to the Minister, which may result in approval or in

the denial or revocation of licensure. For the duration of the probationary period the institution will not be permitted to admit students to the institution as a whole or to specified programs.

Denial

The institution denied Licensure has its License revoked. It must stop admitting students to any of its programs, stop offering its programs within a period of time specified by the Commission, and inform its students that its Licensure has been denied. The institution must guide its students in gaining admission to other recognized or licensed institutions of higher education. Funds held as a financial guarantee will be used to assist students in completing their educational programs and to meet other institutional obligations.

Appeal

An institution may challenge a negative action by the Commission by directing its appeal to the Director of the Commission for Academic Accreditation. An appeal is limited to issues of process.

Appendix A

Requirements for the Self Study to Accompany the Application for the Renewal of Licensure

Introduction

The Self-Study for Renewal of Licensure demonstrates the ways in which the institution has met and will continue to meet the *Standards for Licensure and Accreditation* (2011 edition) and their criteria (the *Standards)*. Each *Standard* and *Stipulation* should be addressed and backed with clear, detailed evidence and appropriate documentation.

A Self-Study for Renewal of Licensure demonstrates that the institution delivers academic programs and courses; pursues other activities such as service, research and scholarship; provides relevant academic, student, and administrative services; and that all of these activities are consistent with the institution's mission.

It is an expectation of the Commission that the Self-Study should be a critical analysis of the institution. The institution should, as it addresses each of the *Standards* and *Stipulations*, assess strengths and weaknesses of the institution in regard to the *Standards* and, as appropriate, discuss steps that will be taken to address weaknesses.

The Self-Study should include appropriate longitudinal data to demonstrate changes which have occurred since the last licensure review. This may include information from the institutional *Fact Book*.

A more specific outline of what is expected in a Self-Study is provided below; the outline follows the numbering and arrangement of the *Standards* (2011 edition). While the outline is in abbreviated form, it should be understood that the Self-Study must demonstrate that the institution is adhering to all of the *Standards* (2011 edition) and the *Stipulations*.

Addressing the *Standards*

1. **Mission, Organization and Governance**

    1.1 **Vision and Mission**

    ▪ The Self-Study demonstrates that the institution has a clearly articulated and approved mission which is focused upon its identity, its educational and other goals, and the students and communities it wishes to serve. Changes that have occurred in the institutional mission since the last licensure review and the rationale for such changes should be discussed.

    ▪ The Self-Study demonstrates that the institution has a clearly articulated and approved vision that is appropriate to an institution of higher education operating in the UAE. Changes that may have occurred in the vision statement since the last licensure review should be discussed.

    ▪ The Self-Study demonstrates that the institution has both institutional goals and institutional objectives that serve the institution as a whole, and it demonstrates that the objectives are derived from the goals and are measureable. The Self-Study should discuss changes that have occurred in goals and objectives since the last licensure review, and the rationale for such changes.

1.2 Organization

- The Self-Study discusses changes to the organizational structure since the last licensure review and documents such changes with a current and approved organization chart.

- The Self-Study discusses the process by which policies and procedures are reviewed and approved. See *Stipulation* 1A: *Policies and Procedures Manual.*

1.3 The Board

- The Self-Study describes and discusses the Board, including its history, its composition, and the degree to which it is representative of the community.

- The Self-Study discusses changes in the overall composition of the board since the last licensure review and the rationale for such changes.

1.4 Institutional Governance

- The Self-Study affirms that the majority of board members have no fiduciary interest in the institution, affirms that board members are not involved in day-to-day operations of the institution, that the board is focused on roles appropriate to a board and in keeping with the *Standards,* and that the chief executive has the responsibility, and the authority, for the day-to-day operation of the institution.

- The Self-Study assesses and documents the ways in which the faculty and students are involved in the decision-making of the institution.

1.5 Policies, Procedures and Documentation

- The Self-Study verifies that the Policies, Procedures and Documentation are in keeping with the requirements of the Commission as specified in *Stipulation* 1A: *Policies and Procedures Manual.*

- The Self-Study describes the process for policy development, document control, review and dissemination, and indicates an assignment of responsibility.

- The Self-Study identifies and discusses new policies which have been developed and implemented since initial licensure.

1.6 Multiple Campus Institutions

- The Self-Study must demonstrate the ways in which activities on the several campuses are coordinated.

1.7 Campuses of UAE Institutions in Other Countries

- The Self-Study documents that the institution has received approval for the operation of a branch campus in a foreign country.

- The Self-Study includes evidence that the branch campus is in compliance with the *Standards* and complies with the requirements of the host country.

1.8 Branch Campuses of Foreign Institutions

- The Self-Study demonstrates that the branch campus complies with the requirements for institutional licensure and program accreditation of the Commission.

- The Self-Study provides evidence that the educational experience, specifically the learning outcomes, of students in the UAE is comparable to that offered at the parent institution.

- The Self-Study documents the existence of and membership on a local advisory board that is inclusive of representation from the UAE community.

- The Self-Study provides evidence that the governing body of the parent institution has approved the establishment of the branch campus.

- The Self-Study demonstrates that there are local administrators based in the UAE who are accountable to the central administration of the parent institution and ultimately to the governing body of the institution.

- The Self-Study provides evidence of a financial guarantee, including a plan for and support of a "teach out" arrangement should the branch campus be forced to close or a program be discontinued.

2. Quality Assurance

2.1 Institutional Research

- The Self-Study demonstrates that the institution has a well designed program of institutional research including a quality assurance/institutional effectiveness unit which reports to the institution's chief executive officer.

- The Self Study documents that there is a process by which the quality assurance unit is regularly evaluated and that the results of evaluation are used to improve the work of the unit.

- The Self-Study identifies performance indicators such as, but not limited to, student-faculty ratios, graduation rates by cohort, or enrollment trends.

- The Self-Study identifies peer institutions against which the institution is benchmarking.

- The Self-Study submits summary information regarding institutional effectiveness either as part of a regularly published *Fact Book* or as an appendix to the Self-Study.

2.2 Institutional Planning

- The Self-Study demonstrates that the institution has both short-term operational plans and long-term strategic plans that are supportive of the institution's mission and vision and which are inclusive of goals, objectives, performance indicators and targets for completion.

- The Self-Study offers evidence to demonstrate that the results of institutional research are used to guide planning, budgeting and resource allocation.

▪ The Self-Study offers evidence that planning operates both institutionally and at the unit level, and that planning appropriately involves stakeholders, advisory panels and international practitioners.

2.3 Risk Management

▪ The Self-Study describes and analyzes the effectiveness of the risk management plan of the institution including provisions for insurance against liability.

2.4 Continuous Quality Enhancement

▪ The Self-Study includes institutional level summaries of satisfaction surveys or other performance surveys for programs and for both administrative and academic support units.

▪ The Self-Study demonstrates through summary evidence that the results of institutional research are used to improve programs and services, that benchmarking is used as part of continuous quality improvement, and that improvements are monitored and evaluated.

2.5 Quality Assurance/Institutional Effectiveness Manual

▪ The application for Renewal of Licensure must include a copy of the current *Quality Assurance Manual*. See *Stipulation* 1B: *Quality Assurance Manual.*

3. The Educational Program

3.1 Credit-bearing Programs

▪ The Self-Study provides a critical analysis of student enrollment since the last licensure review. Documentation should include performance indicators reflective of enrollment patterns, graduation rates, or other measures of institutional change. See also Section 2.1.

▪ If credit is offered for prior learning, the Self-Study demonstrates that it is done in accord with a defined and published policy, which is approved by the CAA.

▪ The Self- Study documents the institution takes responsibility for all programs including those offered in partnership with other institutions.

▪ The Self-Study discusses the way in which the institution has addressed the requirements of the UAE Qualifications Framework.

3.2 The Curricula

▪ The Self-Study discusses major changes (such as new programs or concentrations) developed since the last licensure.

3.3 Academic Courses

▪ The Self-Study provides an overview of the instructional philosophy of the institution and demonstrates an awareness of and commitment to, as well as support for, instructional innovation such as but not limited to active or experiential learning.

3.4 General Education

- The Self-Study demonstrates that the institution has a philosophy of general education, including measureable objectives and learning outcomes, and that the general education component of associate and baccalaureate degrees is clearly outlined in the *Catalog* and adhered to in all areas of academic study, and is in keeping with the *Standards*.

- The Self-Study discusses any changes to General Education since the last licensure review, and discusses particularly those changes which resulted from the application of assessment and continuous quality improvement.

3.6 Undergraduate Preparatory or Remedial Courses and Programs

- The Self-Study describes and analyzes the effectiveness and appropriateness to the mission of any preparatory or remedial programs offered by the institution.

3.9 Class Size

- The Self-Study documents that the institution has guidelines regarding optimal class size, the rationale for such guidelines, and demonstrates that the institution adheres to its own policies and those guidelines issued by the CAA.

3.10 Program Effectiveness

- The Self-Study documents that the institution has a comprehensive means by which the effectiveness of all academic programs is determined and offers examples of the ways in which programs have been improved as a result of assessment.

3.11 Substantive Change for Programs

- The Self-Study provides a listing and brief description of the Substantive Changes since the last Licensure Review. See *Stipulation* 2: *Substantive Change.*

4. Faculty and Professional Staff

4.1 Faculty Handbook

- The current *Faculty Handbook* is submitted as a required document to accompany the Self-Study. See *Stipulation* 1C: *Faculty Handbook*.

4.2 Staff Handbook

- The current *Staff Handbook* is submitted as a required document to accompany the Self-Study unless combined with the *Faculty Handbook*. See *Stipulation* 1D: *Staff Handbook.*

4.3 Recruitment and Records

- The Self-Study demonstrates that the institution has effective recruitment strategies for faculty and staff in place and documents, with examples, the modes of advertising and marketing used.

4.4 Faculty Preparation

- The Self-Study presents summary information showing the overall composition of the faculty by rank, gender, nationality, degrees earned, length of service at the institution, etc. See *Stipulation* 8: *Faculty Qualifications.*

- The Self-Study demonstrates that there is diversity in the cultural and educational backgrounds of the institution's faculty and administration.

4.5 Graduate Faculty

- The Self-Study demonstrates that faculty in graduate programs have a record of active engagement in scholarship and research and that those faculty, as appropriate, are research active and have experience in the supervision of research for graduate students.

- The Self-Study presents summary information showing the overall composition of the graduate faculty by rank, gender, nationality, degrees earned, length of service at the institution, etc.

- The Self-Study describes the special criteria used to determine eligibility for graduate teaching.

4.6 Staff Qualifications

- The Self-Study presents summary information showing the overall composition of the staff by gender, nationality, educational attainment, length of service at the institution, etc.

4.7 Appointment, Compensation, Promotion, and Contract Renewal

- The Self-Study documents that the institution provides faculty and professional staff with appropriate contracts or letters of appointment and other documents which clearly outline the expectations of employment. The Self-Study includes representative samples of contracts or letters of appointment as documentation.

- The Self-Study discusses changes in these policies that may have occurred since the previous licensure review.

4.8 Professional Development

- The Self-Study describes and documents the institutional level professional development program for faculty and professional staff, including orientation and on-going training, and assesses the effectiveness of the program.

4.9 Faculty Workload

- The Self-Study discusses adjustments in Faculty Workload policies to reflect the workload implications of adding new programs, adding, if appropriate, graduate level programs, and demonstrates a sensitivity to the workload implications of different pedagogies including studios, laboratories, internships and the e-delivery of courses.

- The Self-Study documents through a comprehensive faculty workload report that the institution operates within the Faculty Workload guidelines articulated in the *Standards*.

4.10 Part-Time Faculty

▪ The Self-Study demonstrates that institution adheres to the *Standards* with regard to the use and qualifications of part-time faculty.

▪ The Self-Study presents summary information showing the overall composition of the part-time faculty by rank, gender, nationality, degrees earned, and length of association with the institution.

4.11 Evaluation

▪ The Self-Study documents that the institution uses a systematic approach to evaluation of all full-time and part-time faculty and that it uses the results of evaluation to foster professional development.

5. Students

5.1 Student Handbook

▪ The current *Student Handbook* must be submitted with the application for the renewal of licensure. See *Stipulation* 1E: *Student Handbook.*

5.2 Undergraduate Admission

▪ The Self-Study analyzes admissions and admissions trends in relation to the programmatic mix of the institution to ensure that admitted students have a reasonable opportunity of success in the institution.

▪ The Self-Study discusses and analyses the impact of changes that have occurred in the admissions criteria since the last licensure review.

▪ The Self-Study presents data on admissions and related enrollment trends including but not limited to progression, graduation rates, and placement rates for graduates since the last licensure review. This also applies to Sections 5.3, 5.4, 5.5, and 5.6 of the Self-Study.

5.3 Graduate Admission

▪ The Self-Study describes any changes that have occurred in the institution's graduate admissions standards and the rationale for as well as the impact of such changes.

5.4 Transfer Admission

▪ The Self-Study documents that the institution has and adheres to a comprehensive policy governing the transfer of students and the determination of transfer credit, including appropriate policies on credit for prior learning.

▪ The Self-Study evaluates the effectiveness of the transfer policy in relation to students' success on the programs of study.

5.5 Advanced Standing

▪ The Self-Study demonstrates that the institution has an appropriate policy for determining advanced standing, and that it adheres to the *Standards* as to the amount of credit which may be earned through such means.

5.7 Student Records

▪ The Self-Study documents the policies with regard to the collection, maintenance, storage, disposal and security of all student records and demonstrates that the institution has appropriate back-up mechanisms in place to ensure continuity of the student record.

5.8 Student Services

▪ The Self-Study describes the organization of student services and discusses both the nature of the services provided, as well as provides evidence of the effectiveness of those services.

5.9 Advising Services

▪ The Self-Study describes and assesses the effectiveness of academic advising including the advising of students who are undecided on a major and those students who are academically "at risk."

5.10 Student Activities and Publications

▪ The Self-Study describes the program of student activities, documents the assessment mechanisms in place for those activities, and demonstrates that the institution has appropriate policies and mechanisms in place to supervise those activities including clubs, organizations and student-run media.

5.11 Student Behavior and Academic Integrity

▪ The Self-Study demonstrates that procedures for ensuring academic integrity are implemented consistently across the institution and they are effective in dealing with academic offences.

5.13 Residence Halls

▪ The Self-Study documents that if residence halls are provided, the learning environment in the residence halls supports the educational mission of the institution.

6. Learning Resources

6.1 Learning Resources: Library

▪ The Self-Study demonstrates – through multi-year budgets, evidence of expenditure patterns, descriptions of space allocation and use, inventories of equipment, etc. – that the library and its services are adequately supported and sustainable.

▪ The Self-Study describes the access to learning resources provided at non-campus based and auxiliary learning or training facilities (such as clinics).

- The Self-Study demonstrates that the library is open a sufficient number of hours to meet the needs of its users, and that provides an appropriate range of services including bibliographic instruction, efficient and effective book and periodical acquisition and appropriate circulation.

- The Self-Study documents that the library staff provides students and faculty with appropriate orientation programs and other services such that the key concepts of information literary are learned.

- The Self-Study documents that the library has short and long-range plans for collection development which are adequately supported and which include appropriate methods for the elimination of materials.

- The Self-Study documents that the library is catalogued according to accepted bibliographic formats and conventions.

- The Self-Study documents that the number of staff is adequate and that the staff has appropriate professional qualifications.

- The Self-Study demonstrates that the library function and services are regularly evaluated and that the results of such evaluations are used to enhance its effectiveness.

6.2   Learning Resources: Technology

- The Self-Study describes and documents that there is adequate technology support in the classrooms, and that there is sufficient technology support for learning to meet the programmatic needs of the institution including learning, teaching and research.

- The Self-Study documents that the institution has provided appropriate levels of training to faculty, staff and students in the use of technology.

- The Self-Study documents that the institution has appropriate communication technologies to allow for interaction among faculty and students outside the classroom.

- The Self-Study demonstrates that the staff is adequate in number and that the staff is appropriately trained as well as available to assist users during all hours of institutional operation.

- The Self-Study documents the level of reliability of the IT network.

- The Self-Study demonstrates that, in the case of multi-campus institutions, information resources are accessible to all users at each of the institution's locations.

- The Self-Study documents that the institution has appropriate policies regarding computer use, adequate safeguards on computer security, and appropriate licensure and/or protocols in place for all hardware and software.

- The Self-Study demonstrates that technology functions and services are regularly evaluated and that the results of such evaluations are used to enhance its effectiveness.

6.3   Learning Resources: Laboratories

- The Self-Study demonstrates that the institution has a sufficient number of laboratories that are

appropriately equipped to support the learning, teaching, and resource needs of all of its programs, both general and specific.

◼ The Self-Study demonstrates that the institution has a short and a long-range plan for the development of laboratory support over time.

◼ The Self-Study demonstrates that the level of support, including personnel, is adequate and sustainable.

7. Physical and Technology Resources

The Self-Study includes a summary description of the facilities of the institution and indicates changes to the inventory of physical spaces since the last licensure.   Documentation should include whether such facilities are owned or leased, the number of classrooms, laboratories, offices and other spaces used to support the institution.

The Self-Study demonstrates that the results of satisfaction surveys are used to evaluate all physical and technology resources.

7.1   Physical Environment: Development

◼ The Self-Study documents and discusses the development of new facilities (owned or leased) acquired and occupied since the last licensure report.

◼ The Self-Study discusses anticipated changes to the campus with regard to major facilities or including, if applicable, campus re-location.

◼ The Self-Study demonstrates that the physical environment provides appropriate access, including parking.

◼ The Self-Study documents that the institution complies with appropriate UAE law regarding the provision of facilities for those with disabilities, and that the institution has appropriate physical facilities to accommodate the needs of both male and female students.

◼ The Self-Study discusses the institutional plan for addressing the maintenance of facilities, the replacement of technological or laboratory equipment as well as other instructional or support equipment as needed and as appropriate.

7.2   Physical Environment: Safety

◼ The Self-Study demonstrates that health and safety issues are the assigned responsibility of an appropriately trained campus administrator.

◼ The Self-Study demonstrates that the policies and procedures relating to health, safety, and security are appropriately disseminated, adhered to and regularly evaluated.

◼ The Self-Study documents that the institution has an emergency evacuation plan for its campus which is regularly tested.

7.3 Physical Environment: Technology

- The Self-Study demonstrates, through appropriate multi-year budgets, that technology resources are adequate, supported and sustained.

- The Self-Study documents the short and long-range plans for the replacement and upgrading of technology resources.

- The Self-Study documents that the institution has appropriate security measures to protect the integrity and confidentiality of academic systems, administrative systems and institutional networks.

- The Self-Study documents that the institution has appropriate, secure and fireproof storage for its institutional data, preferably off-site.

- The Self-Study demonstrates that there is adequate technological support for the institution's services, institutional research and planning.

8. Fiscal Resources

8.1 Fiscal Resources

- The Self-Study documents financial stability through evidence of short and long-range budgeting, appropriate controls over fiscal resources, and appropriately credentialed individuals employed to manage the fiscal functions of the institution.

- The Self-Study summarizes the financial picture of the institution, demonstrating both present and future financial stability and assessing the adequacy of the financial resources to offer the approved programs of the institution.

8.4 Budgeting

- The Self-Study describes the budgeting process, documents the process through providing sample budgets for the institution as well as for the departments or budget units, and demonstrates that budgeting is connected to both short and long-term planning.

8.5 Financial Operations

- The Self-Study documents that appropriately trained individuals have responsibility for fiscal matters, and that appropriate controls are in place to maintain fiscal integrity and also inform key stakeholders of the financial status of the institution and the programs therein.

8.10 Auxiliary Enterprises

- The Self-Study describes and documents the effectiveness of auxiliary enterprises such as non-credit training programs, bookstores, residence halls, food service operations, printing and duplicating services, child care and transportation services.

- The Self-Study describes and assesses the effectiveness of third-party operations with which the

University has a contractual relationship.   This should include a discussion of the ways in which the effectiveness of such third-party operations are assessed and the ways in which the institution periodically reviews its third-party contractual relationships.

9.   Public Disclosure and Integrity

9.1   Policy

- The Self-Study describes and documents new policies or substantive change in existing policies which have occurred since the last licensure review.

9.3   Institutional Name

- The Self-Study discusses any changes in the name of the institution since the last licensure and the rationale for such changes.

9.5   Contractual Relationships

- The Self-Study describes contractual relationships of the institution and assesses the degree to which the institution benefits from such relationships.

9.6   Associations with Corporate Entities

- The Self-Study describes and documents relationships with corporate entities and assesses the degree to which the institution benefits from such relationships.

10.   Research and Scholarly Activities

10.1   Research Strategy

- The Self-Study documents that the institution has a research strategy and assesses its effectiveness.

10.2   Research Support

- The Self-Study documents that institutional support of research and scholarship is appropriate.

10.3   Research Policy

- The Self-Study describes and assesses the effectiveness of the policies and procedures relating to institutional support for research, including the adherence to policies regarding ethical conduct of research.

10.4   Research Expectations

- The Self-Study describes the research and scholarly expectations for faculty and professional staff (if any) and assesses the degree to which institutional goals for research have been met.

10.5 Cooperative Arrangements

▪ The Self-Study describes and assesses the effectiveness of cooperative relationships for research, scholarship and other creative activity.

11. Community Engagement

11.1 Institutional Engagement

▪ The Self-Study documents the strategic plan for community engagement and assesses the success in meeting institutional benchmarks for community engagement.

11.2 Employer Engagement

▪ The Self-Study describes the ways in which the institution involves employers through focus groups, advisory boards and in other ways, and demonstrates the efficacy of such employer engagement with the institution.

11.3 Community Relations

▪ The Self-Study documents the range of community activities and assesses the degree to which all are in keeping with the institutional mission.

Figure 1: Institutional Licensure & Program Accreditation Approval Process