



<b>Policy name</b>	Policy for Recruitment of Researchers on Sponsored Research Projects		
<b>Policy number</b>	RS0012		
<b>Contact Person</b>	Chair of University Research and Enterprise Committee		
<b>Approval Authority</b>	Board of Trustees		
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<b>Policy Review Cycle</b>	Annual	<b>Next review</b>	22/33

## 1. Definitions

The following abbreviations/terms are listed in an alphabetic order:

Terms / Abbreviations	Definitions
ASU	A'Sharqiyah University
CLFS	Center for Languages and Foundation Studies
Co-I	Co-Investigator
Co-PI	Co-Principal Investigator
DMS	Document Management System
DVCAAR	Deputy Vice Chancellor for Academic Affairs and Research
HR	Human Resources
IT	Information Technology
MoHERI	Ministry of Higher Education, Research and Innovation
OMR	Omani Riyal
PI	Principal Investigator
RA	Research Assistant
RF	Research Fellow
RGSO	Research and Graduate Studies Office
SOP	Standard Operating Procedure
TRC	The Research Council



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UREC	University Research and Enterprise Committee
VC	Vice Chancellor
WoS	Web of Science

The following personnel terms are defined as per the Guidelines of the Block Funding Program issued by (The Research Council (TRC), 2018), which was later merged into the Ministry of Higher Education, Research and Innovation (MoHERI) with slight alteration, and are listed in an alphabetic order:

Terms	Definitions
Co-Investigator (Co-I)	“Researcher with a PhD qualification or equivalent who is employed (affiliated to) by a national Research Institution and will be involved with the Principal Investigator in the scientific development or implementation of the research project.”
Consultant	“An expert in a specific field involved in the research project to provide, scientific advice, improved implementation of research, and/or technology transfer.”
Co-Principal Investigator (Co-PI)	“A researcher under the research project who is delegated to lead the research project during the absence of the PI. The Co-PI is required to be a holder of a PhD or equivalent and to be an employed by the research institution and should be from the same research institution of the PI.”
EJAAD	EJAAD is a membership-based virtual collaborative platform where industry, academia and government can interact and engage in energy-related research and innovation activities.
Post-doctoral Researcher /Research Fellow	“A professional holding a PhD degree or equivalent and involved in a research project.”
Principal Investigator	“The researcher responsible for leading the Research Project. The PI is required to hold a PhD or an equivalent degree and to be an employee at the research institution.”
Project Team Members	“All investigators and such other personnel assigned to the research project.”
Research Assistant (RA)	Omani and non-Omani contract personnel hired on a term basis to be directly involved in the research project.
Researcher	A generic term which refers to a researcher recruited in a research project as a Research Assistant, a Postdoctoral Researcher/Research Fellow or a Consultant.



## 2. Purpose

The purpose of this policy is to clarify the responsibilities and procedures for the process of recruiting researchers to undertake sponsored research projects. These include the responsibilities of the policy stakeholders and the detailed procedures of recruiting researchers under various modes and durations of research employment and research services for long or short terms.

## 3. Scope

This policy applies to the process of recruiting researchers for externally and internally funded research projects. This includes recruiting on-campus and off-campus Researchers who can be employed as full-time, part-time, on-request or as consultants whose payments shall be made from these funded research projects.

## 4. Policy Statement

This policy states the following recruitment details, roles and responsibilities of the stakeholders.

### 4.1 General Details

- (a) **Posts of Researchers:** The PI of an active and sponsored research project may request to recruit a Researcher for his/her research project who can be a Research Assistant, a Postdoctoral Researcher/Research Fellow or a Consultant subject to the terms and conditions of the funding agency.
- (b) **Modes of Recruitment:** The PI may request to recruit a Researcher on a full-time, part-time or on-request basis. A full-time Researcher shall work for not less than 8 hours a day and he/she shall be paid a fixed monthly salary. A part-time Researcher shall work for not more than 5 hours a day and he/she shall be paid a fixed monthly salary. An on-request Researcher shall work based on requests and he/she shall be paid based on an agreed fixed hourly rate. The determination of the recruitment mode is the sole responsibility of the project PI. However, the final approval shall be made as per the Procedures and Guidance Section of this policy. The details of the modes of recruitment are summarized in Table 1.
- (c) **On-campus/Off-campus Researchers:** The PI may request to recruit an on-campus Researcher or an off-campus Researcher. Off-campus Researchers can be in Oman or outside Oman; treated as subcontractors; and their entitlement shall be as per Table 3. Research employment contracts are used for recruiting on-campus Researchers while research service contracts are used to recruit off-campus Researchers. The PI shall ensure that all off-campus research service contracts are designed such that the Researcher is not required to be on-campus. However, in the instance where an off-campus Researcher is required to be on-campus to carry out specific research activities



as determined by the PI, a short-visit visa shall be issued as per the HR procedures without any additional charges. The incurred cost of employment visa, medical insurance and/or flight ticket fare for on-campus Researchers shall be covered from the respective project budget, if budgeted, or using the operational overhead budget, subject to the approval of the funding agency and the RGSO. The on-campus and off-campus working modes and how they relate to the recruitment modes are presented in Table 1.

Table 1: Summary of Recruitment Modes and Researchers' Eligibility

Citizenship	Mode of Recruitment	Mode of Recruitment		
		Full-time	Part-time	On-request
		Payment Mode	Fixed salary	Fixed salary
	Number of Working Hours	At least 8 hours/day	At most 5 hours/day	Flexible
Omani	On-campus	✓	✓	✓
	Off-campus	NA	✓	✓
Non-Omani	On-campus	✓	×	×
	Off-campus	NA	✓	✓

**(d) Duration of Recruitment:** The minimum and maximum duration of Researchers' recruitment shall be one month and twelve months, respectively. The PI may request for extension of recruitment duration as needed, subject to satisfactory performance the Researcher as judged by the PI as well as the availability of funds.

**(e) Project Personnel Cost:** The PI, Co-PI, Co-I and other Team Members of a research project shall not be remunerated using the project budget unless explicitly stated and agreed by the funding agency, such as in the case of EJAAD projects. The project personnel cost shall exclusively be used to cover the expenses of recruiting Researchers.

**(f) Omanization:**

Priority will be given to Omani nationals in research staffing recruitment decisions. The University's HR recruitment procedures will be adhered to in selection of research staff. All vacant research posts will be advertised on the University's website and other media. The PI will be assisted by the Selection Committee in recommending the best candidate for appointment. Consistent with the University's principles of hiring the best staff possible, the final decision on who should be hired to a research post funded by a research grant rests with the Selection Committee. The Selection Committee will consist of the Dean or his nominee (Chairman), PI, Co-PI and an HR representative.

**(g) Monthly Salaries and Hourly Rates:** As a guide, the proposed figures of monthly salaries and hourly rates in this policy are identified based on the guidelines of the Block Funding



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Program of MoHERI and as shown in Table 2. The ranges of monthly salaries and hourly rates for other externally funded research projects may differ from the figures below and depend on the funding body.

*Table 2: A Guide of Payment for Researchers*

<b>Full-Time Researcher</b>				
<ul style="list-style-type: none"> <li>As a guide, the normal monthly salary for a full-time researcher is as follows:</li> </ul>				
Qualification	Diploma	B.Sc.	M.Sc.	Ph.D.
Amount (OMR)	500	650	800	1,100
<b>On-Request Researcher</b>				
<ul style="list-style-type: none"> <li>The maximum number of hours per month is as follows:</li> </ul>				
Researcher Category	Employed/ Full-Time RA	Unemployed/ Non Student	Working PG Student/UG Student	Non-Working PG Student
Max. No. of hours/month	90	130	90	130
<ul style="list-style-type: none"> <li>As a guide, the normal hourly rate is as follows:</li> </ul>				
Qualification	(UG Students)	B.Sc.	M.Sc.	Ph.D.
Amount (OMR)	3	4	5	7
<ul style="list-style-type: none"> <li>The PI must submit the relevant application form which states the total number of working hours conducted by the Researcher and the total payment.</li> </ul>				
<b>Part-Time Researcher</b>				
<ul style="list-style-type: none"> <li>As a guide, the normal monthly payment for a part-time researcher is as follows:</li> </ul>				
Qualification	Employed/ Full-Time RA	Unemployed/ Non Student	Working PG Student/UG Student	Non-Working PG Student
UG Students	270	390	270	-
B.Sc.	360	520	360	520
M.Sc.	450	650	450	650
Ph.D.	630	910	630	910
<b>(d) Consultant</b>				
<ul style="list-style-type: none"> <li>The funded project must clearly include a budget allocation for consultants.</li> <li>Based on agreed deadlines, the payment schedule is to be scheduled as follows:</li> </ul>				
Payment Type	Amount	Date(s)		
Down Payment (upon signing the agreement)	OMR .....	dd/mm/yyyy		
Interim Payments	OMR ..... OMR ..... .....	dd/mm/yyyy dd/mm/yyyy .....		



Final Payment (upon completing the project)	OMR .....	dd/mm/yyyy
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## 4.2 Contractual Terms and Conditions

### (a) Obligation of the Researcher:

- The recruited Researcher shall diligently, faithfully and to the best of his /her ability perform the duties for which he/she is for the time being recruited hereunder and shall conform at all times with the lawful instructions of the PI.
- The PI shall have the right from time to time and subject to the conditions herein contained to assign the Researcher any other related duties.
- For full-time research employment, the Researcher shall not engage or participate in any other service or business (apart from his job) whatsoever without the prior written approval of the PI.
- For a Researcher recruited for a research project on part-time or on-request basis at ASU while he/she is working for another employer, the written permission of the employer will be required.
- The Researcher shall not engage in any political activity whatsoever in the Sultanate of Oman or in any activity which can be construed as interfering in the affairs of the Sultanate of Oman.
- The normal working days in the Sultanate of Oman are from Sunday to Thursday (both days included) with weekend being Friday and Saturday. The working days for an off-campus researcher may vary based on his/her country of residence.

**(b) Annual Leave:** Unless specified, no annual leave is applicable for all types of recruited Researchers as presented in Table 3.

### (c) Travel

- As stated in Table 3, a full-time on-campus Researcher is eligible for an Economy Class air ticket for travel from the nearest international airport at the Researcher's home country (as per his/her passport) to Muscat International Airport and vice versa shall be provided at the beginning of the tour or completion of the contractual period or upon earlier termination of the contract of duty only.
- Since Researchers are not eligible for any annual leave, they will not be paid a round trip airfare (for annual holidays) during the course of the project as stated in Table 3.

**(d) Visa Eligibility:** As stated in Table 3, a full-time on-campus Researcher is eligible for an employment Visa provided by A'Sharqiyah University (ASU). The Visa expenses will be paid from the research grant/overhead budget. ASU's HR department shall be responsible for processing the visa.



- (e) Medical Insurance:** As stated in Table 3, an on-campus full-time or part-time Researcher may be eligible for medical insurance provided by ASU. The medical insurance fee will be paid from the research grant/overhead budget.
- (f) Gratuity:** Regardless of the type of contract/agreement offered, Researchers shall not be eligible for any gratuity payment.
- (g) Termination Notice during the Probation Period:** The termination notice during the probation period shall be as per the HR Manual.
- (h) Contract Renewal:**
- The PI may terminate the contract at any time during the contractual period by giving the Researcher one-month advance written notice or one-month salary in lieu thereof.
  - The PI may terminate the Researcher's contract without prior notice and without end of service gratuity in any of the cases as mentioned in Omani Labor Law Article (40).
  - The Researcher may terminate the contract at any time during the contractual period by giving the PI one-month advance written notice or one-month salary in lieu of notice. In this case, the acceptance of Researcher's termination of contract and normal notice period will be decided at the discretion of the PI. The PI has the right to accept the resignation with immediate effect or with effect from any time within the notice period.
  - In all cases of severance, the Researcher must return all property in his/her custody to the PI and ensuring accomplishment and handover of all tasks.
  - The PI has the right to extend the contract for any further period less than one year to be agreed upon by both parties.
- (i) Code of Ethics:** The Researcher must comply with the Code of Ethics of ASU, as described in Appendix A, including but not limited to the following:
- To respect the Islamic religion, the laws, customs and social traditions of the country.
  - Not to engage in any activity which is detrimental to the country's security.
- (j) Confidentiality:** The Researcher shall not (either during or after his/her employment) without the written consent of the PI, divulge any information concerning the PI's dealings, transactions or affairs which may come to his/her knowledge during or in the course of the employment. In addition, The Researcher shall maintain complete confidentiality of all the information and data of the project and will not publish or release it to others.
- (k) Governing Law:**
- The terms of the contract of research employment/service and its attachments are in all cases subject to the laws of the Sultanate of Oman and the regulations of ASU and any other conditions that may be prescribed by the University or any of its authoritative bodies. The Researcher will be automatically bound by the terms of any new laws promulgated by the Sultanate of Oman or any amendment of ASU internal manuals.



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- Disputes regarding the applicability and terms of the contract will be resolved as per rules and regulations of ASU. The employment/service contract is to be construed and carried into effect according to the laws of the Sultanate of Oman. In addition, the provisions of the Omani Labor Law and its Executive Regulations shall apply on all matters not specifically mentioned in the contract.
- With the exception of financial benefits provided to ASU employees, the HR Manual of the University applies to all Researchers.

**(l) Disciplinary Procedures:** In case of misconduct by the Researcher, ASU may take disciplinary action and/or economic penalties against the Researcher in accordance with the Violations and Penalties Regulation, up to the dissolution of employment/service contract. These disciplinary actions and/or economic penalties shall apply if the Researcher fails to comply with any of the provisions of this employment/service contract or with any other performance standards required by the PI.

**(m) Others:**

- It is possible to work as Part-Time and/or On-Request Researcher for more than one project provided that the maximum monthly payment does not exceed the maximum amount specified in Table 2.
- The Researcher undertakes to perform and deliver the works under the supervision of the PI, according to the responsibilities and deadlines determined by the PI.
- The PI shall ensure safety of all ASU facilities (e.g., laboratories, equipment, etc.) under the direct use of the Researcher.
- The Researcher is not entitled to any other benefits or privileges than what is listed here within.
- For expatriate research employment, the effective date of the employment contract is the starting date indicated in the contract or the arrival date of the employee to the Sultanate of Oman whichever is the later date and provided this date is agreeable to the PI.

A summary of eligibilities and requirements for various operational posts and modes is presented in Table 3.





Table 3: Summary of Eligibilities and Requirements for Various Operational Posts and Modes

Post of Researcher	On-campus/Off-campus	Full/Part-Time/On-Request	Annual Leave	Employment Visa (non-Omani)	Air Ticket at the beginning and end	Travel Allowance	Medical Insurance	Orientation	ASU Email Address	ASU Access Card	Work Space	ASU Computer/Laptop	End-of-Service Clearance	
RA	On	FT	x	√	√	x	√	√	√	√	√	x	√	
		PT	x	x	x	x		√	√	√	√	x	√	
		OR	x	x	x	x		√	√	√	√	x	√	
	Off	FT	x	x	x	x	x	x	x	x	x	x	x	x
		PT	x	x	x	x	x	x	x	x	x	x	x	x
		OR	x	x	x	x	x	x	x	x	x	x	x	x
Postdoc/RF	On	FT	x	√	√	x	√	√	√	√	√	x	√	
		PT	x	x	x	x		√	√	√	√	x	√	
		OR	x	x	x	x		√	√	√	√	x	√	
	Off	FT	x	x	x	x	x	x	x	x	x	x	x	x
		PT	x	x	x	x	x	x	x	x	x	x	x	x
		OR	x	x	x	x	x	x	x	x	x	x	x	x
Consultant	On	FT	x	√	√	x	√	√	√	√	√	x	√	
		PT	x	x	x	x		√	√	√	√	x	√	
		OR	x	x	x	x		√	√	√	√	x	√	
	Off	FT	x	x	x	x	x	x	x	x	x	x	x	x
		PT	x	x	x	x	x	x	x	x	x	x	x	x
		OR	x	x	x	x	x	x	x	x	x	x	x	x

## 5. Key Stakeholders

The stakeholders of this policy include the following:

- Executive Management
- UREC
- RGSO
- Deans of Colleges



- Director of CLFS
- Principal Investigators
- Researchers
- Finance Department
- HR Department
- IT Department
- Admin Affairs Department
- Asset Management Department

## 6. Procedures and Guidance

In this section, the recruitment procedure of Researchers as well as the roles and responsibilities of all the parties involved in the recruitment process are stated as follows:

- (a) At an early stage, the **PI** must allocate personnel cost budget in the submitted proposal if he/she aims to recruit Researchers in his/her research project. Upon proposal approval, the PI shall complete the “*M1 - Application Form for Recruiting Research Staff on Sponsored Research Projects*” stating the required recruitment mode of Researchers and all the other details as per the form, and shall submit it to the respective Dean/Director associated, with the required supporting document including the job description of the Researcher. The PI shall serve as the line manager of the recruited Researcher throughout the course of the project.
- (b) The **Dean of College/Director of CLFS** shall screen the submitted application form coded as M1 and shall discuss it with the PI to ensure that the required qualifications and specialization of Researchers suits the research project under which the Researcher shall be recruited. The Dean/Director may consult his/her College Research Chair if deemed necessary. The discussion shall also identify the hosting lab or allocated space if an on-campus Researcher shall be recruited. If the application is satisfactory and hosting arrangements have been made/discussed, the Dean/Director shall recommend the application form for approval.
- (c) The recommended M1 - Application Form for Recruiting Research Staff in Sponsored Research Projects shall then be submitted to the **RGSO** which will check the availability of funds to pay the recruited Researcher throughout the entire duration of recruitment. RGSO is held responsible for monitoring the project expenditures, reflecting budget virement operations, if any, and keeping a record of achievement of expected outcomes. If satisfactory and the application form is complete, the RGSO shall recommend the form for approval.
- (d) The recommended form shall be then submitted to the **DVCAAR Office** which will check the compliance of the submitted application form with the current Policy for Recruitment of



Researchers on Sponsored Research Projects. If satisfactory, the DVCAAR shall approve the aforementioned application form. A copy of the form shall be forwarded to the DVCRIS for note.

- (e) The **Finance Department** receives the approved application form and confirms the availability of funds to support the required recruitment of the Researcher. The Finance Department coordinates closely with the RGSO to ensure that the financial management of the research projects is appropriately carried out. The Finance Department shall request the RGSO for financial statements of all the active projects as needed. If satisfactory, the Finance Department shall return the approved application form to the RGSO.
- (f) The **RGSO** shall notify the PI on approval of his/her submitted application form, and shall request the PI to provide the necessary documentation to publish the research vacancy in ASU's website by the HR Department. The PI shall also be advised to publicize the research vacancy in social media platforms (such as LinkedIn) and any other means to maximize the size of potential audience.
- (g) The RGSO shall forward the required details, including the closing date of the vacancy, and the job description for the required Researcher to the **HR Department** to put up the research vacancy online through ASU's website. The PI shall regularly request the HR Department to forward the received job applications to him/her so that he/she then screens the applications to identify potential candidates.
- (h) Once a suitable candidate or more are identified, the PI shall notify the respective **Dean** to conduct an interview for the candidate(s) using the HR Interview Form. As stated in item 4/4.1/(f), the Selection Committee shall be composed of the PI, Co-PI, an HR representative and chaired by the College Dean. The interview results and the committee's decision shall be then forwarded to the RGSO. The interview shall not be necessary if the PI intends to employ a Researcher who was interviewed and recruited in a research project at ASU before provided that the scopes of the previous and the new research project are correlated.
- (i) The **RGSO** shall then share the template of the research job offer letter with the PI and shall request him/her to draft the letter identifying the commencement date, the salary, the employment/service mode, etc., and forward the completed offer letter to the RGSO which will check its compliance with this policy.
- (j) The RGSO shall then forward the draft of the offer letter to the **HR Department** for final checking and endorsement by the Director of the HR Department. The signed offer letter shall be then forwarded to the selected candidate through the RGSO.
- (k) The selected candidate shall respond to the **RGSO** within a pre-defined period with his acceptance or disagreement. If the offer letter is accepted, the RGSO shall then notify the



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PI and request him/her to draft the research employment/service contract using a given template. The RGSO shall receive the draft of the research employment/service contract which shall be signed by the successful candidate, review it carefully to ensure that it conforms with the terms and conditions of this policy, and share it with the HR Department.

- (l) The **HR Department** shall review the draft of the research employment/service contract, and if satisfactory, shall forward it to the VC Office for approval. The signed contract shall be then forwarded by the HR Department to the successful candidate, or the Researcher, through the RGSO.
- (m) As per Table 3 and based on the post of the Researcher; his/her recruitment mode being full-time, part-time or on-request; and whether he/she shall be on-campus or off-campus, the **RGSO**, assisted by **HR Department**, shall provide the eligible support and services, if any, to the Researcher including: employment visa, in-bound travel, medical insurance, orientation, ASU email address, ASU access card, and/or work space. Recruited Researchers are not eligible for a Computer/Laptop but form the research grant, if applicable. The end-of-service clearance shall be required by on-campus Researchers.
- (n) The **Admin Affairs Department** shall be requested by the HR Department to issue an access card and create an email account for the recruited Researcher.

The complete set of application forms and template can be found in the University Shared Folder or Document Management System (DMS). The SOP of Researchers' Recruitment is shown in the flowchart presented in Figure 1.

## 7. References

The Research Council (TRC). (2018). *Block Funding Program*. 1–20.



## 8. History Revision

Version	Author/ Reviewer	Revision(s) made and Justifications	Date



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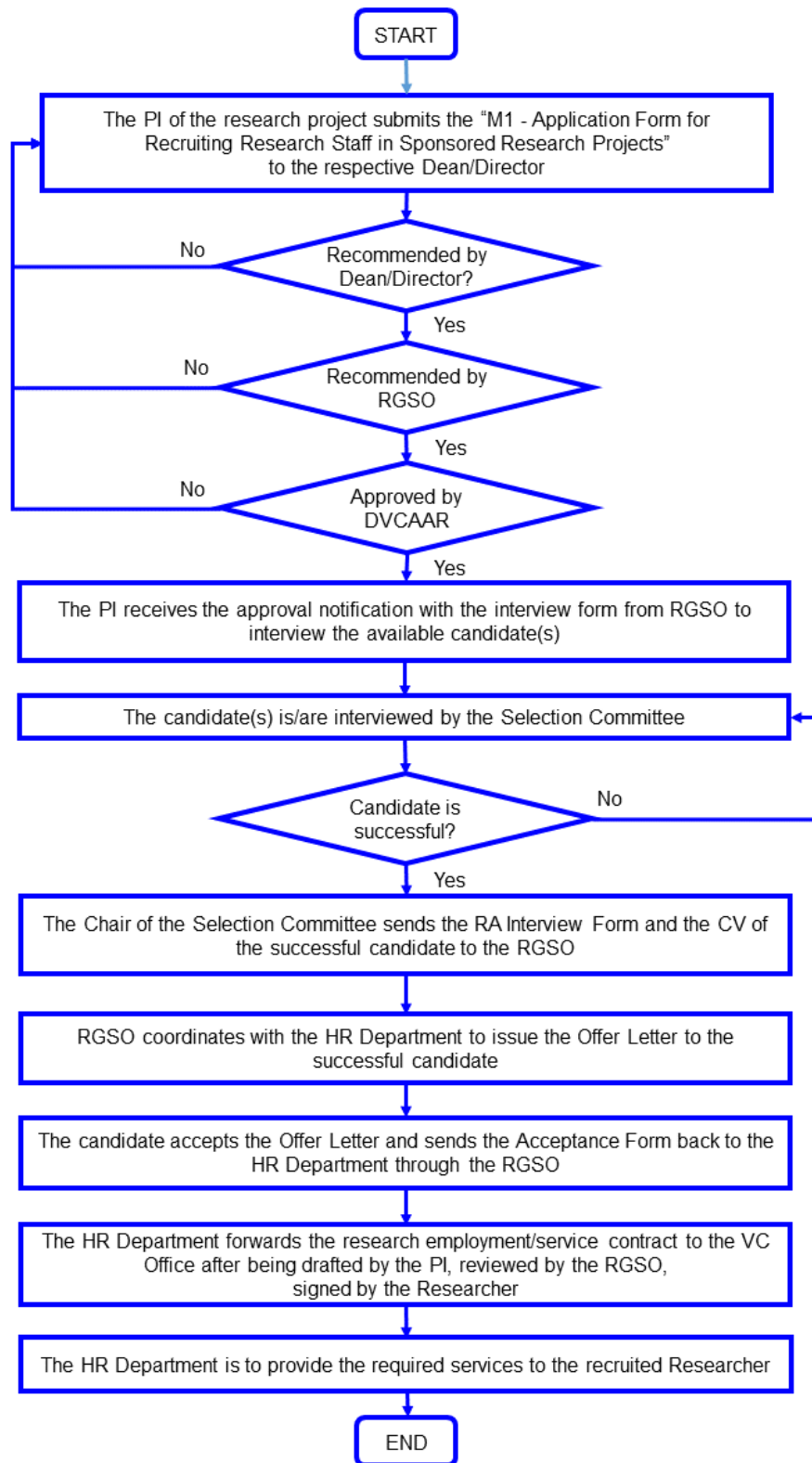


Figure 1: SOP of Researchers' Recruitment



## **Appendix A: Policies on Code of Ethics**

### **I- Prohibition of Discrimination, Harassment and Sexual Misconduct**

This policy is to provide a working environment that is free of sex and gender discrimination, sexual harassment, sexual assault, sexual misconduct and interpersonal violence. ASU prohibits any kind of discrimination that is based on sex or gender. Also, it prohibits sexual harassment, sexual assault, sexual misconduct and interpersonal violence.

Such unacceptable behaviors are considered as 'prohibited conduct' and any individual, who is alone or participates or attempts to participate with others in such prohibited conducts that are clarified in this policy, is subjected a disciplinary action by ASU.

ASU firmly encourages faculty, staff and third parties to report about such kind of these prohibited incidents which are clarified in this policy.

Each employee is responsible for reporting such incidents and ASU will respond to all reports of prohibited conducts.

ASU will conduct fair investigation and try to fix these complaints impartially and provide remedial procedures and sanctions when is necessary.

Individuals, who prefer to keep their identities anonymous, can report about these issues to HRD by telephone or by written communication. However, keeping the individuals' identities anonymous will hinder the ASU to follow with these prohibited conducts, to collect evidences and to take the appropriate action against the individuals who are accused that they violate the policy.

ASU adheres to keep a free of sex discrimination environment. Accordingly, employees have to report and response to such kind of issues. However, ASU may not be able to deal with the issues confidentially. So complainants, who want to deal strictly confidence with the complaint, need to use the procedures that are mentioned in this policy.

In order to deal with the complaint effectively, ASU encourages the individual, who have passed in such prohibited conducts, to come and to report about theses conducts and submit their inquiries and reports and ask for a help from ASU. Employees are responsible for reporting these conducts to HRD. Any delays in reporting these conducts will lead to inability of ASU to stop the prohibited conducts, to collect evidences and to take effective procedures against the individuals or organizations.

### **II- Policy on Fraud, Theft and misappropriation of ASU assets**

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ASU FORMS & TEMPLATES

RS0012 Policy for Recruitment of Researchers on Sponsored Research Projects

1-2021-22



**(a) Definition**

The definition includes theft and all fraudulent transactions including but not limited to:

- Stealing;
- Embezzlement;
- Misapplication of resources;
- Destruction, removal or concealing ASU records or property for the purposes of gain;
- Forgery, falsification or alteration of documents;
- Making false claims;
- Computer hacking and identity theft.

**(b) Standard of behavior**

ASU's employees and any others acting on behalf of the ASU or doing business with ASU are expected to deal with ASU's assets and resources with the highest level of integrity and honesty. All individuals have to follow the procedures and policies that are provided by ASU.

**(c) Disclosure of evidence of wrongdoing**

ASU encourages individuals, who have evidences of stealing, fraud or other misappropriation of ASU's assets and resources, to report such conducts to the person who is responsible about these issues. ASU adheres to keep on the confidentiality of the one who reports with evidences these conducts without being afraid of the consequences of these issues.

**(d) Investigation and other action**

Basing on the provided evidences of the dishonest behavior, ASU will conduct its investigation and may take actions which could include remedies as it is allowed by law.

Employees, contractors, agents, volunteers of ASU and any others who are acting on behalf of ASU or are doing business with it are expected to fully cooperate with any investigation.

**(e) Procedure**

**(1) Application**

This procedure is designed to report and investigate any evidences of fraud, theft or misappropriation of ASU assets. However, it is not applied on other issues such as academic misconduct or fraudulent actions that may be conducted by students nor on academic research misconduct which they have different procedures.

**(2) Disclosure**





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- People, who have evidences of fraud or misappropriation of ASU's assets, are expected to follow the procedures in revealing such issues to one of the following people: VC, DVCAAR, DVCRIS and HR Director
- ASU adheres to take the necessary steps to keep the identity of the people who reveal these conducts anonymous. However, the identification of these individuals may be disclosed, if necessary, to help ASU to take the suitable actions against these conducts.
- ASU may ask the individuals, who report such conducts, to provide their reveals with any written or signed documents that support their allegations.

#### (3) *Protection of a Party Making a Disclosure*

- ASU adheres to be responsible for making sure that the people, who help to reveal the wrong conducts, are protected from any consequence reprisal in their job including dismissal or threat of dismissal, discipline, suspension, harassment or intimidation in their work place.
- Any individual, who is exposed to such kinds of reprisals or threats as a result of his/ her revealing of the wrong conducts, needs to report this to the DVCRIS who will make sure to investigate the matter and take the appropriate action.

### III- Investigation of Allegations of Fraud, Theft and Misappropriation



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- When ASU receives evidences of fraud, theft or misappropriation, the DVCRIS will assign a senior and official person, normally it is the Internal Audit Director, to supervise on the investigation of the evidences.
- Investigations will be highly confidential with taking care that the requirements of any legislation or applicable agreements will be respected.
- The investigators will have a permission to enter to all relevant ASU's properties and records and employees are expected to be cooperated with them and are subjected to the legal rights. The results of the investigations will be submitted normally as a written report to the DVCRIS and VC. When the allegations have been confirmed, the results will be submitted to the Audit Committee.