ASTI ACADEMY

A Government of Dubai Recognized Institute

معتمدة ومعترف بها من قبل حكومة دبى

since 1995

POLICIES &
PROCEDURES

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Policies and Procedures

AL SHABAKA TECHNICAL INSTITUTIONAL ACADEMY

Al Shabaka Technical Institutional
Academy, Dubai,
Policies and Procedures Manual
AUGUST 2022

Review of academic, financial and other considerations leads to change in the policies, rules and regulations applicable to students, faculty and staff. The administration therefore reserves the right to changes at any time with the approval of UAE Government, Ministry of Education, Government of Dubai, Knowledge and Human Development Authority (if required). These changes may affect such matters as tuition and work timings, courses and programs offered (including the modification or possible addition/elimination of courses or programs), and other rules and regulations applicable to students, faculty and staff.

While every effort has been made to ensure that this book is accurate and up-to-date, it may include typographical or other errors. Changes are periodically made to this publication and will be incorporated in new editions.

Mohammed Mazhar Ali, *Founder & Chairman, Al Shabaka Technical Institutional Academy*
Syed Ahmad*, ASTI Group Director, Al Shabaka Technical Institutional Academy*

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1. MESSAGE FROM THE CHAIRMAN'S DESK

The institution that holds firm to the belief that each of us makes an astonishing difference! Indeed, astonishing differences are just what institutions are about; we bring richness and value to the communities we serve by providing access to higher education to diverse student body, and Al Shabaka Technical Institute is no exception.

Deeply rooted in a commitment to student success, equity, and life-long learning, Al Shabaka Technical Institute is an institution in which our students thrive because we are intentional and purposeful in creating a learning environment focused on their evolution as learners and citizens of the Human Community.

I know that the faculty and staff of Al Shabaka Technical Institute work hard every day to ensure that every student has a meaningful experience at our institution – whether the intent is research education, career education, development education, or personal enrichment education. This institution believes de3eply that every student who comes here is entitled to an education experience grounded in excellence, and that is what you will find in our classrooms, in our offices, in our services, in our programs, an in the way we treat our students and community. "We're not here to make a living, we're here to make a difference." is not just our motto; it is the creed by which we live and operate.

In order to create a learning environment that nurtures students, you will find an organization growing to meet the needs of our students. We continue to be grateful to the UAE Government, Ministry of Education, Government of Dubai, Knowledge and Human Development Authority, who supported the guidance for Al Shabaka Technical Institute. As a result of their belief in and campus will see continuous developments in the institution.

These projects will end in the state-of-the-art facilities for our exceptional academic programs, enhanced spaces for our athletic and wellness programs, and improved infrastructure initiatives to enrich the way the campus works for our students and employees.

If you haven't found out already, I believe you will soon find that Al Shabaka Technical Institutes one of the jewels of the UAE region, and I am honoured for everyone decided to pursue their educational goals here. I am convinced that their educational experience – in and out of the classroom – will change institution. We hope to make a difference in your life, and I challenge them to make a difference at Al Shabaka Technical Institute, community, region and thus the planet we live on while they are here with us.

Mohammed Mazhar Ali
Founder & Chairman, Al Shabaka Technical Institute
chairman@astidubai.ac.ae

2. MISSION STATEMENT

Al Shabaka Technical Institute adheres to the purpose for which "The advancement of all innovative technology and sciences; and all other necessary provisions that may conclude to the education of the youth of this country." In brief: *Al Shabaka Technical Institute strives to create knowledge, to open the minds of students to that knowledge, and to enable students to take best advantage of their educational opportunities.*

To these extends, the institution encourages students to respect ideas and their free expression, and to rejoice in discovery and in critical thought; to pursue excellence in a spirit of productive cooperation; and to assume responsibility for the consequences of personal actions. Al Shabaka Technical Institute seeks to identify and to remove restraints of students' full participation, so that individuals may explore their capabilities and interests and may develop full intellectual and human potential. Al Shabaka Technical Institute should liberate students to explore, to create, to challenge, and to lead. The support of the institution provides to students is a foundation upon which self-reliance and habits of lifelong learning are built: Al Shabaka Technical Institute expects that the scholarship and collegiality it fosters in its students will lead them in their lives to advance knowledge, to promote understanding, and to serve society.

In a nut-shell, "We, Al Shabaka Technical Institute, are not here to make a living, we are here to make a difference" in the community, nation and so the planet we live on.

3. INSTITUTION OVERVIEW

Al Shabaka Technical Institute is one of the fastest growing technical and management training institutions in the Gulf Region. Started as a technical training provider institution in the year 1995, Al Shabaka, positioned itself as a complete solution provider for learning and development needs of the Arab's world professionals. Licensed by Ministry of Education, Knowledge and Human Development Authority, to conduct short term, midterm and long-term programs in various parts of the world, ASTI offers training programs in more than 150 industry verticals and segments including core engineering, construction, business management, health care, education, IT, and languages.

Al Shabaka Technical Institute is one of the Pioneers in the institutions of United Arab Emirates. Pioneers in providing Education& Training programs with innovative teaching methodologies which offers a unique range of professional courses designed specially to meet the needs of our students in home and overseas. ASTI has been approved as a centre for Technical Vocational Education and Training (TVET). As an approved institution from government, we could able to serve the professionals with their career development-oriented education. ASTI is also accredited and recognized by international awarding bodies such as Pearson and Qualifi to deliver their qualifications.

We ensure that our students are given guidance and support throughout the time of their study with us. We provide a very good opportunity for our students to study in well occupied and supportive learning environment, to attain their goals in a Comprehensive manner. Whether your interest lies in full time study or work-based tainting, our qualified and friendly staff will ensure you're given the best training and teaching guidance to set you on the pathway to success. We also want you to get the learning and skills you require in a safe and supportive environment and are committed to help you in achieving your personal goals and aspirations.

We offer a range of Courses including leisure courses in local community centres part time professional courses, full time courses, apprenticeships and training in the work place, irrespective of age, lifestyle, commitments and/or ambition.

With over 20 years of academic expertise and service Al Shabaka Technical Institute has stepped strongly into the beautiful and magnificent area Al-Qusais Dubai. We couldn't have made any progress without the help of visionaries in the Government. Our success in this segment depends significantly on the support we receive from the visionaries in the government. Together with them, we, Al Shabaka Technical Institute ensure that the generations that follow are fully equipped to take on the future in the Capital Emirate of the United Arab Emirates. With the marvellous service orientation to the society, Al Shabaka Technical Institute located at Dubai is officially licensed by from Ministry of Education Dubai, United Arab Emirates to award programs in Engineering, Management, Accounts, IT etc. With the strength, support and guidance from Ministry and its Authorities, its definite that Al Shabaka Technical Institute will serve and empower more people of this country for the years to come. ASTI is an International Standard Organization (ISO) certified organization

POLICIES AND PROCEDURES

4. MADMISSION AND ENROLLMENT

4.1 General Requirements

☐ ASTI accepts applications from all students who meet the entry requirements published in the qualification specification.

☐ Applicants must complete all the required fields of the Application Form within given timeframe.

☐ Applicants must submit certificate of Language Proficiency (e.g. IELTS, TOEFL, PTE) for some qualifications if it is required.

☐ Applicants are required to provide a copy of proof of identification (Passport, Emirate's ID, etc.), certificates (Diploma, Transcript, Training, etc.) relevant to the course or programme, and proof of experience in the same field and a passport size picture.

☐ A candidate must be able to at least understand, read, write and speak the English language as a medium of instruction.

4.2 Registration

☐ Student coordinators will provide information relating to the courses or programmes. This information must summarize the requirements and prerequisites for the course or programme. For tailored schedules, an agreement regarding the class schedules will also take place during the orientation.

☐ Applicants shall fill up the registration form with the required information such as desired programme, personal data, educational background, technical qualifications, present and past employment specifications. Applicants must sign the registration form to declare that all the information he/she supplied was accurate and authentic.

5. RECOGNITION OF PRIOR LEARNING (RPL)

5.1 PURPOSE AND SCOPE

According to the NQC Standard for RTPs referred to as mutual recognition, ASTI recognises NQC Qualifications and Statements of Attainment issued by any other ATP. We will also recognise and assess the skills and knowledge students gained over the student for years of work and life experiences.

The underlying principle of Recognition of Prior Learning (RPL) is that no learner should be required to undertake a unit of competency for which they are already able to demonstrate competency as outlined in the endorsed national qualification.

5.2 POLICY STATEMENT

ASTI will offer recognition to all participants for any nationally recognised course ASTI offers, prior to enrolment. All participants are informed at the pre-training induction of the availability of RPL recognition. All participants have the right to apply for RPL.

ASTI maintains Recognition of Prior Learning (RPL) policies procedures and relevant arrangements in order to attract the learners who have prior leaning work experiences and convert it to qualification credit. ASTI follows and adheres to the requirements of NQC on RPL.

5.3 PROCEDURE STATEMENTS

5.3.1 Applying for Recognition of Prior Learning (RPL)

In order to apply for an RPL, a student must supply evidence to demonstrate prior learning and relevant skills and knowledge gained through work and life skills. Evidence for this may include but not limited to:

- Position descriptions from current/previous employment.
- References from current/ former employers.
- Work samples.
- Resume

If the student know that you have gained the required skills and knowledge for some of the units of a specific course the student can to apply for RPL and an assessor will be assigned to take the student through the process and the requirements.

Fees are payable for this RPL service prior to assessment.

A qualified assessor of ASTI team will assess the application and notify the student of the outcome. If the evidence is sufficient to demonstrate current competency against the unit(s) of competency requirements, RPL will be granted and the student will be notified.

If the student's RPL application is approved, he/she will not need to attend classes or complete assessments for that unit(s) of competency.

5.3.2 Criteria for applying RPL

The starting point for any learner wishing to claim for RPL is to reflect on their experience in order to identify relevant achievement. They should think about evidence of knowledge and experience gained:

- At work
- In any relevant voluntary work and leisure activities

- In formal or informal education and training – for example, adult education courses or in-company training
- From independent study
- From home-based activities, such as care of the young, the elderly or the sick, or involvement in the family business. RPL learners will need to understand the relevant assessment requirements associated with the units they are claiming. Then they will be able to work towards assembling evidence to support these claims.

Providing evidence of achievement, the portfolio Learners will need to provide evidence to show that they have covered the requirements of the units or modules. This will take the form of a portfolio, prepared by the learner, which sets out the program assessment requirements claimed, together with any supporting evidence. Professional discussions or oral assessment can be used to contribute towards portfolio evidence. They must be documented and can be supported by audio/video recordings.

In considering the evidence, the assessor needs to ask if it is valid, authentic, current, relevant and sufficient (see below for definitions) If the assessor judges that the evidence submitted is not sufficient to meet the requirements of the unit or module, it will be necessary to seek additional evidence. This may be done by the learner:

- Undergoing an oral assessment
- Completing an appropriate assignment
- Completing a written test
- Carrying out a demonstration
- A combination of the above

5.3.3 RPL through Credit Transfer

- As per regulations that NQC does not have credit transfer, ASTI will not consider any Credit Transfer as fulfilling the RPL requirements.
- ASTI strictly adheres and complies with awarding body policies on RPL.

5.3.4 Unsuccessful applications for RPL

If the student's RPL application is not approved then the student will have to enrol and attend training for those units of competency.

REVISION HISTORY				
Version No.	**Developed by**	**Date**	**Approved by**	**Review Date**
1	Academic Director	Sept. 2021	Operations Manager	Sept. 2024

6. CREDIT TRANSFER POLICY

Credit Transfer is the recognition of TVET study which has been conducted in United Arab Emirates. Students who have previously studied and successfully completed one or more subjects containing the same competencies as those offered by the Institution can apply for a Credit Transfer.

Credit Transfer assesses the programme or subject that the student has completed against the required learning outcomes, competency outcomes, or standards in the Institution's course or programme they intend to study.

To apply for Credit Transfer students will need to submit certified copies of their transcripts prior to starting with the Institution with the attached Credit Transfer form.

If the student is not eligible for Credit Transfer they may be considered for RPL

6.1 Conditions

a. All supporting documents supplied must be true and correct (and translationsprovided where applicable).

b. It is the student's responsibility to ensure that all necessary documentation isprovided for assessment.

c. All Credit Transfer applications and enquiries are submitted to the Institution.

d. Credit Transfer applications must be received with the programme application or at least 6 weeks prior to programme commencement, whichever is sooner.

e. If the Institution requires additional information from the student about their Credit Transfer application, that information must be returned to the Institution within 7 days of the student receiving the Institution's request.

f. Students will be notified in writing of a Credit Transfer assessment outcome within 21 days of receipt of the application. If the Institution grants ProgrammeCredit the notice to the student must be signed and returned to the Institution.

g. Credit Transfer is granted, the student's programme duration will be reduced.

h. The Institution reserves the right to refuse any Credit Transfer application priorto programme commencement.

i. The student is responsible for paying all postage and handling as necessary.

j. Credit Transfer assessments and decisions made by the Institution are final.

k. The decision to grant programme credit must preserve the integrity of the awardto which it applies and comply with requirements of the underpinning

frameworkof the programme.

7. DATA PROTECTION POLICY

7.1 Data Gathering

a. All personal data relating to staff, learner or other people with whom we have contact, whether held on computer or in paper files will be dealt with sensitivelyand in the strictest confidence internally and externally.

b. Only relevant personal data will be collected and the person from whom it is collected will be informed of the data's intended use and any possible disclosures of the information that may be made.

7.2 Data Storage

c. Personal data will be stored in a secure and safe manner.

d. Personal passwords must not be disclosed to colleagues, learners or other persons to enable them to access data.

e. Computer workstations in administrative areas will be positioned so that they are not visible to casual observers waiting either in the office or at the receptionhatch.

f. Any hard copies of personal data will be stored where the data not accessible to anyone who does not have a legitimate reason to view or process it.

g. Particular attention will be paid to the need for security of sensitive personal data.

7.3 Data Disclosures

h. Personal data will only be disclosed to organisations or individuals for whom the consent of the data subject (or that of the parent/carer) has been given for the organisation or individual to receive the data, or to organisations that have demonstrated a legal right to receive the data without consent being given.

i. Personal data will not be used in newsletters, websites or other media withoutthe consent of the data subject (or parent/carer).

j. A record will be kept of any personal data disclosed so that the recipient can beinformed if the data is later found to be inaccurate.

7.4 Subject Access Requests

k. If the Institution receives a written request from a data subject to see or receive copies of any or all personal data which the Institution holds about them this will be treated as an access request and the Institution will respond within the 40 calendar day deadline.

l. Informal requests to view or have copies or personal data will be dealt with wherever possible at a mutually convenient time but, in the event of any disagreement over this, the person requesting the data will be instructed to make their application in writing and the Institution will comply with its duty to respond within the 40 calendar day time limit.

8. STUDENT SUPPORT POLICY

8.1 Purpose
The main aim of this policy is to establish a simple, integrated institutional approach to providing support for students, which meet legal and regulatory obligations in relation to different types of risk.

8.2 Objectives
   a. Outline why student support is a necessary and appropriate responsibility for the institution and all its staff and partners.
   b. Set out a coherent approach to providing support for students who need it for whatever reason, incorporating existing staff responsibilities for Personal Tutoring, Safeguarding, Wellbeing and following institution policies into this integrated framework.
   c. Indicate an increased focus on:
        i. identifying support needs at an early stage
        ii. sharing information appropriately
   d. Specify that appropriate processes, systems, guidance and training are neededin order to enable staff to perform their role in supporting students.

8.3 Scope
This policy framework applies to all ASTI staff, partners and contractors, in relation to all ASTI students.

8.4 Underpinning principles
   1. The institution reaffirms its commitment to freedom of speech, academic freedom and freedom of religious expression. Inclusivity, change and challenge are integral to the educational experience.
   2. As well as any pre-existing or developing personal, physical or mental health issues, individual students can face many challenges and changes in relation to study and student life, may be removed from their usual support networks, and may be actively targeted by certain groups.
   3. Some students will endure or address problems and challenges by themselves, however many students may need or benefit from additional support.
   4. Providing additional support to students who need it contributes to institution agendas including student satisfaction, student retention, staff satisfaction and professional body requirements.
   5. Supporting students is a shared responsibility of all staff, although some members of staff - such as personal tutors and professional support services staff – already have specific responsibilities for supporting students and are more likely to have the opportunity to notice if a student may need additional support.
   6. There may be apparently minor signs that can indicate at an early stage that a student is in need of additional support, and staff should make an effort to notice these signs and act on them, before the problem becomes more chronic or critical.

7. If a staff member thinks a student may need additional support, they should take appropriate and timely action.

8. Staff are not expected to diagnose or provide specialist support to students, (unless that is part of their role), but to familiarize themselves with how to access guidance for themselves and support for their students.

9. Student concerns will be handled sensitively and in compliance with the Data Protection Policy.

10. Responses to concerns will be proportionate and appropriate, taking into account equality duties and students' legal rights, and the prejudices which can surround topics such as mental health.

11. Some students may require continuing support and/or adjustments to continue their studies. Relevant Professional Services staff will help identify what these should be, but academic and administrative staff a connection to the student, and/or a relevant role such as Personal Tutor should also expect to play a part in on-going support and resolution of any issues.

12. The systems and information-sharing processes shall be fit for purpose and facilitate the sharing of items of information which, taken together, could show that a student may be in need of additional support.

13. Staff may expect to have guidance and training made available to them. Staff in key roles may be required to familiarize themselves with guidance and attend training.

14. Students may wish to seek additional support for themselves. Students may also be in a position to notice if one of their peers may need additional support. The institution will therefore make use of all the channels for communication with students, including working with the Students' Union, to provide simple information about how students can access additional support and guidance.

9. ATTENDANCE POLICY

The aims of this policy and procedure is to enable all absences to be fairly and consistently dealt with across the Institution and to monitor and improve the attendance of all students.

In interpreting these procedures, the decision of the Institution is final. The Institution may amend this procedure at any time, or depart from it, depending on the circumstances of the case.

9.1 Attendance requirements

As part of the terms and conditions of enrolment at the Institution, students are expected to attend lectures, seminars and tutorials. If attendance is unsatisfactory without any extenuating circumstances such students will be subject to the Disciplinary Procedure.

Attendance will be monitored through the registers. Where a student miss classes they will be contacted by phone, email and/or SMS and asked to explain the reasons for their absence. Students are required to respond to these messages. Appropriate action shall be taken if there is no proper response.

Where there are valid reasons for absence, students must provide proof, including doctor's notes, evidence of an accident, or other documentation. Where a student knows in advance that they will not be able to attend their classes, they must notify the Institution and provide supporting evidence for their absence. The following rules will apply to absences:

 □ During term time students will not be given leave of absence for overseas national holidays or attendance at family functions, etc.

 □ No student will be granted authorised leave of absence for more than 2 weeks during term-time unless there are exceptional circumstances and such leave is agreed with the Institution management.

 □ Any absence due to illness must be notified to the as soon as possible, preferably before morning on the day of absence

 □ Students who are absent from classes for more than 5 working days must provide a doctor's certificate

 □ All students must declare any medical condition or disability which is likely to result in their missing a significant number of classes. All female students must inform the Institution if they are pregnant. Any false declaration, or failure to disclose a condition or pregnancy, may result in a student`s enrolment being cancelled.

If a student is absent for longer than four weeks without informing their tutor, course coordinator or other manager, without providing appropriate evidence to support a legitimate absence (for example major illness or operation), they will be withdrawn

from the Institution. In this circumstance, the Institution's Student Disciplinary Procedures will not apply but the withdrawal will be recorded on the Student Information System for any future applications to the Institution.

9.2 Explained absences

There are some absences which can be marked as an explained absence. These include:

- Illness;
- Medical appointments, which could not be made out of institution hours;
- A religious holiday (up to 3 days);
- A career-related interview;
- A work placement
- Attendance at a government agency appointment
- Severe disruption to a student's method of transport, such as a strike or sandstorm, that leaves the student with no alternative method of travelling to institution;
- An Institution representatives' meeting.

The following reasons for absence are **not** acceptable and **cannot** be marked as explained absences. They include:
- Holidays
- Part or full time work which is not part of your programme of study
- Leisure activities
- Birthdays or similar celebrations
- Shopping
- Driving lessons, etc.

Students should be aware that if they take holidays during term time they may be withdrawn from examinations and/or coursework may not be submitted for marking and verification. They will also be called to a meeting in accordance with the Disciplinary Procedure.

Any student who expects to be absent from classes for more than two weeks for any reason (for example, their own illness, or the illness or death of a close family member) must inform the Institution as soon as possible. In such a case, fees will not be refunded, but will be held on account for up to 12 months until the student is able to resume studies.

9.3 Disciplinary actions for breaking the student attendance requirements

Where student contravene the Student Attendance Procedures they will be subject to the Disciplinary Procedures as outlined below:

Stage One: The student will be spoken to by a member of the academic team. They will be expected to explain absences and provide/agree an action plan for improvement (Stage One) Student attendance will be monitored.

Stage Two: If a student`s attendance fails to improve, a further meeting will be held with the student and, if appropriate, a final written warning will be provided (Stage Two)

indicating that if they continue to not attend they may be suspended from their course. Warnings may also include conditions. The Institution may decide to:

- Not enter a student for examinations/external assessment
- Not submit their coursework for verification
- Not allow them to progress to the next year/level of their course

Stage Three: Where the attendance of a student continues to be of concern they will be excluded from the Institution (Stage Three), either temporarily or as a permanent measure. A letter explaining this decision will be sent to the student by the management. Students may also be suspended or excluded from the Institution for the non-payment of fees, the non-submission of assignments and failure to progress academically, failure to abide by the rules of the Institution.

Where students are excluded, they have the right to appeal against the decision.

9.4 Immediate Termination

- Immediate termination is done if the student is found using drugs or any other substance that is not allowed to be used in the campus.
- Use of mobile phone in the class or in the examination.
- Found bullying other students or staff on the basis of cast, gender, religion, creed, etc.

9.5 Appeals

Students wishing to appeal the decision to exclude them must do so in writing to the Management within 5 days of the exclusion. They must state why they are appealing the decision. If there are no clear grounds for the appeal and the Institution has followed its' procedures correctly an Appeals Panel will not be called. If the Appeal Panel goes ahead it will be dealt with in line with the Institution's Appeals Procedure. The Appeal Panel's decision is final.

10. ASSESSMENT POLICY

10.1 Purpose
This policy provides guidance to staff and students on assessment and academic progress.

10.2 Policy Statement
ASTI will ensure that the process of assessment and academic progress is applied fairly and consistently across the Institution and that the processes will comply with requirements of external awarding bodies.

10.3 Scope
This policy applies to all formative and summative assessments and describes the processes in place to ensure the integrity of the assessment process.

10.4 Responsibilities
1. The Academic and Training Affairs Office is responsible for the implementation and development of this policy.
2. Teaching staff and students are responsible for the effective operation of this policy.
3. The Quality Manager is responsible for monitoring the effectiveness of this policy.

10.5 Assessment
Students will normally be allowed no more than two attempts at any one assessment. However, at the discretion of the programme head, a third attempt may be allowed which must be undertaken at a date agreed.

Where a student is absent from class at the time an assessment is offered, or does not submit the assessment on time, this shall be recorded as one attempt irrespective of a medical certificate has been provided.

Where appropriate an alternative instrument of assessment will be used for any re-assessment.

If an assessor believes there could be a potential conflict of interest with a student whose work they will assess, they should make their Programme Head know as soon as possible so appropriate action can be taken.

Assessment evidence will be retained by the Institution for the purposes of verification and will only be returned to the student at the discretion of the Institution and once all verification activities have been carried out.

If a lecturer feels any student may require additional support they should communicate this to the Student Services Office/Management in order that the student's needs may be addressed.

10.6 Verification
It is essential that assessment decisions made by lecturers are to standards. To ensure that all assessors for the same qualification apply the assessment process

consistently for all candidates and that the final assessment decision is accurate, reliable and recorded, a system of verification is in place.

Verification is carried out on a sampling basis by appointed staff within the Institution (internal verification) and/or by the awarding body (external verification). Results are only final after all internal/external verification has taken place.

It is the responsibility of all curriculum staff to participate fully in the Institution verification process.

If an internal verifier believes there could be a potential conflict of interest with a student whose work they will verify, they should make their Programme Head know as soon as possible so appropriate action can be taken.

10.7 Academic Progress and Progression
Continued satisfactory academic progress throughout a student's course of study is required.

Continued failure to submit course work to the required standard and/or deadlines or to achieve summative assessments or failure to meet any requirements of a support plan may lead to a student being withdrawn from their course of study.

The success criteria for progression to the next stage of study will be clearly defined and communicated to all students.

10.8 Plagiarism and Cheating
Plagiarism and other forms of cheating will not be tolerated within the Institution

If a student is suspected of cheating or is caught cheating for example: suspected of submitting an assessment that is not wholly his or her own work (plagiarism), copying in a supervised assessment, using unauthorised aids in supervised assessments a disciplinary action will be imposed or possibility of being withdrawn from the course of study.

11. REASONABLE ADJUSTMENTS

We are assured to enabling all our learners to have their work assessed in a fair and equitable way. This policy describes the procedures which students and tutors should follow when extenuating circumstances may unfairly disadvantage people in completing their programme and/or may require some special arrangements or adaptations to be made.

11.1 Explanation of reasonable adjustment

A reasonable adjustment helps to reduce the effect of a disability or difficulty that places the learner at a substantial disadvantage in the assessment situation. Reasonable adjustments must not affect the validity or reliability of assessment outcomes, but may involve:

   a. Changing usual assessment arrangements
   b. Adapting assessment materials
   c. Providing assistance during assessment
   d. Re-organizing the assessment physical environment
   e. Changing or adapting the assessment method
   f. Using assistive technology

Reasonable adjustments must be approved by the Centre and be set in place before the assessment process begins.

The work produced following a reasonable adjustment must be assessed in the same way as the work from other learners.

The learner may not need, nor be allowed, the same adjustment for all assessments.

Instutution's responsibility

It is important that staff involved in the management, assessment and quality assurance of our qualifications and learners are fully aware of the contents of the policy.

   g. Ensure they have correct information, understand the nature of the programme, the type of award they can receive and whether it will meet their needs.
   h. To be alert to their needs, offer clear information about requirements and identify any support that may be required.

Maintain awareness about their potential to successfully complete the assessment and achieve the award; ensure they are aware of the routes to progress through the programme and policies such as reasonable adjustment and RPL.

11.2 Applying reasonable adjustment

Reasonable Adjustments are the responsibility of center. They are approved by the Internal Quality Assessor before an assessment and are intended to allow attainment to be demonstrated. A student does not have to be disabled to qualify for reasonable adjustment; nor will everyone who is disabled be entitled to reasonable adjustment. Allowing reasonable adjustment is dependent upon how it will facilitate access for students.

A reasonable adjustment must never -
      i. Affect the validity or reliability of assessment
     j. Influence the outcome of assessment
     k. Give the learner in question an unfair assessment advantage

11.3 Applying for special considerations

All applications for special consideration are on a case-by-case basis and separate applications must be made for each learner.

Learners may apply for special consideration during or after an assessment but may not apply for special consideration in the case of a permanent disability or learning difficulty.

11.4 Explanation of Special Considerations

Special considerations are different to reasonable adjustments as they apply to a disadvantage that occurs either just before or during the assessment. Reasons for special consideration could be:
      l. Temporary illness or injury
     m. Adverse circumstances at the time of the assessment

A student may be eligible for special consideration if:
     n. Their performance in an external assessment is affected by circumstances beyond the control of the learner, e.g. recent personal illness, accident, bereavement, serious disturbance during the assessment.
     o. The alternative assessment arrangements which were agreed in advance of the assessment proved inappropriate or inadequate.
     p. Any part of an assessment has been missed due to circumstances beyond thecontrol of the learner.

Special considerations will be taken into account by the IQA at the time of the assessment and will be recorded and sent to Al Shabaka Technical Institute Quality Assurance Team.

Each application for special considerations will be reviewed separately to ensure that the learner is not given an unfair advantage.

Learners need to submit evidence to center to support their request for special consideration. This may include medical evidence or any other appropriate information.

The Centre and tutor will complete a Special Consideration Application Form which will be signed and dated by the person accountable for quality assurance at the centre, declaring that the information is accurate. It should be submitted as soon as possible, and not later than 7 working days after the assessment.

Al Shabaka Technical Institute can only accept requests for special consideration after the results of the assessment have been released in the following circumstances:

q. The application has been overlooked at the centre and the oversight is confirmed by the person at the centre responsible for quality assurance.

r. Medical evidence comes to light about a learner's condition which demonstrates that the learner must have been affected by the condition at the time of the assessment, even though the problem revealed itself only after theassessment.

Special Consideration applications must be sent by post, email or fax to:

Al Shabaka Technical Institute
P.O. Box 112707,
Building No. 29,
Street 5,

or

contact@astidubai.ac.ae

On receipt of the Special Consideration application, the Quality Assurance Team will assess the evidence and normally make a decision within 3 days of receipt using their professional judgment. If, for any reason, it takes longer to make a decision.

12.   CONFLICT OF INTEREST POLICY AND PROCEDURE

12.1 THE PURPOSE

ASTI Training Institute always expect individuals to act in the best interests of the company. Meaning the business decisions should be made free from any conflict of interest or commitment of favours to other commercial entities other than their employers.

12.2 Conflict of Interest:

- *When an employee is involved in an activity, or has a personal gain or interest that may interfere with the employee's neutrality decisions, when performing their duties or carrying out responsibilities at ASTI Training Institute*

- *This policy applies to all employees, stakeholders, partners and board members of the Company. Any such activity or personal interest, including those of the employee's immediate family, is prohibited unless formally approved in writing.*

ASTI Training Institute considers a conflict of interest to be:

- Activities include outside employment in areas similar to those in which ASTI Training Institute is involved; outside work for suppliers, vendors or competitors.

- Other activities that have the potential to affect the employee's objectivity and working performance.

- And activities that could reflect negatively on the reputation of ASTI Training Institute, and its employees.

- Holding a financial interest in another business concern, that is a direct supplier or customer of ASTI Training Institute (constitutes a conflict of interest under certain conditions).

12.3 THE POLICY

- Any employee who has any interest in a transaction entered into by ASTI Training Institute, must declare such interest in writing to the Academic Director.

- ASTI Training Institute transactions with other business entities must not be influenced by the personal gain, or beneficial interests of any of its employees.

- The imparting of privileged information that enables others to undertake insider dealings, or to secure a profit, is viewed as a very serious matter and potentially, on investigation may lead into a disciplinary matter.

- ASTI Training Institute encourages employees to participate in non-profit industrial of professional or charitable activities, and these are generally not viewed as being of any conflict of interest.

12.4 THE PROCEDURE

- All actual or potential conflict of interest, should be declared as soon as the employee or sub-contractor is aware of such a conflict. This declaration should be in writing and be approved by the Academic Director.

- ASTI Training Institute employee or sub-contractors are required to obtain approval before undertaking any of the following:

    o Holding an active or passive investment interest (either directly or indirectly) in any supplier, vendor or competitor business.

    o Acting as a board member, director, partner, consultant, representative, agent, advisor, or employee of a supplier, vendor or competitor of ASTI Training Institute.

    o Engaging in any activity that could create the appearance of a conflict of interest.

    o Participating in any activity that might lead to unapproved disclosures of the company's exclusive information or proprietary information owned by others, who entrusted such information to the company

    o Assist other companies that might become a supplier or service provider.

- A copy of this policy will form part of the new employees' induction process and will include a copy of the Conflict of Interest Disclosure Form.

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1	Academic Director	Sept. 2021	Operational Manager	Sept. 2024

13. APPEALS POLICY

Al Shabaka Technical Institute is responsible for upholding standards that promote academic integrity and student success. Every member of the faculty is expected to make fair and consistent judgments regarding student's records and will reflect their accomplishments.

It is expected that all the academically involved individuals will cooperate to resolve all the academic issues.

All appeals shall begin between the student and faculty and interactions should be documented properly.

If the student is dissatisfied and a resolution was not reached, the student must contact the manager to arrange a meeting to discuss the issue. Same applies to the Chairman if resolution was not met with the manager.

The appellant must show evidences such as emails, documentation, etc. in support of their appeal.

The institution considers that an appeal may be made where there is evidence to show:
1. That the student's performance was affected by conditions that he or she could not perform or report for valid reasons,
2. That employees have not followed agreed guidelines and measures;
3. Unfair act towards a student by showing bias in the way they have made the relevant academic decision.

The institution will not accept an appeal where it can be shown at any point that:
1. The decision against which the appeal is directed has yet to be made or, if made, has yet to be confirmed;
2. The academic appeal has been made without any relevant evidence to show why it should be considered. Evidence from family or friends is not considered to be sufficient, to verify the circumstances claimed;
3. Evidence submitted to support the appeal can be shown to have been dishonestly obtained or is itself untruthful;
4. The appeal is measured to be frivolous or vexatious.

14. COMPLAINT POLICY AND PROCEDURE

ASTI treats all complaints seriously and will treat all complainants fairly.

14.1 Purpose

The purpose of this procedure is to standardise ASTI approach in providing an effective, efficient, timely, fair and confidential academic, and non-academic complaints handling procedure, for all students with a none biased management, of any complaint received.

14.2 Scope

This procedure is applicable to Academic matters include those matters, which relate to student's progress, assessment and course content. The procedure also covers the Non-academic matters include those matters which do not relate to student's progress, assessment, course content, or awards in a course, and include complaints in relation to personal information that the providers hold in relation to the students.

Non-academic Complaints for example: A situation that may arise from events occurring at a provider or from decisions made by a provider.

14.3 Responsibilities

- A Committee is assigned to guide and investigate any disputes or complaints involving students and customers.
- The Committee investigates the complaints and refers the cases to the Academic Director.

The Academic Director has overall responsibility of this policy and he is responsible:

- To ensure that all resources are available to address complaints.
- To ensure that complaints are solved within the set timelines.
- The Academic Director is responsible for implementation and ensuring that all employees are fully trained on Policies and Procedures.
- To take the final decision in relation to the complaint filed by a customer. The Academic Director can override any decision that was initially labelled a 'minor or informal complaint'.

The Management Representative (assigned by the Academic director) is responsible;

- To receive the complaints
- To manage complaints and address within the timeframe.
- To maintain and control the records related to formal complaints
- To communicate updates related to complaints
- To maintain a log of all complaints and shall keep minutes or records of all complaining process.
- To ensure that all complaints are closed
- To communicate the decision to the complainant by email.

14.4   PROCEDURE STATEMENTS

Minor or Informal Complaint

- A student with a question or complaint should raise the matter with the Trainer/or an employee of ASTI, and seek an informal resolution of the question or complaint.

- Trainers are the preferred first point of contact for any student's issues - the trainer is qualified to support, and should effectively manage any queries or issues related to a minor or information training concerns.

- If the questions or complaints are dealt with in this way, this does not normally become part of the formal complaint process, and will not be documented, recorded, or reported.

- Unless the trainer or the complainant determines that the issue, question, or complaint, is serious enough to bring it to the attention of management the complaint will not be recorded.

- Students who are not satisfied with the outcome of the question, or complaint are encouraged to register a formal complaint. The Academic Director will be informed, and an investigation will be conducted by the committee, as per the complaints policy and procedure.

Formal Complaint

- The Complainant will have to present their case officially and in writing

- The principles applying to all stages of the Formal Complaint procedure adhered to by ASTI are:

Step One

- Formal Complaints (regardless of being academic or non-academic) should be submitted in writing to the Institute, on receipt the complaint will be logged into the system and will be passed to the management representative (assigned by the Academic Manager) within 24 hours (on working days and normal business hours)

- The Complainant has the option of being accompanied/assisted by a third person (such as a family member, friend or counsellor) if they so desire. And the Complainant will not be discriminated against or victimized in anyway.

- The management representative of ASTI will acknowledge receipt and contact the complaints within 2 days. The case will be investigated and outcome will be provided to the complainant in writing, within five working days.

Step Two

- If the complainant is not satisfied with the outcome of step one, they may lodge an appeal in writing to the Committee and the committee will review

the case and determine if the complainant has grounds for appeal within 5 working days.

- The reviewer will conduct all necessary consultations with the complainant, and other relevant persons, and make a judgement on the fact provide for appeal/or on their own investigation.

- The Complainant will be advised in writing of the outcome within 10 working days of their complaint, including the explanation of the decision made.

- The complainant will be advised of their right to progress to step three, if they consider the matter unresolved.

- The decision will be approved by the Academic Director.

Step Three

- At all stages of the process, discussions relating to complaints will be recorded in writing. Reasons and a full explanation will be supplied in writing, for decisions and actions taken, as part of this process and will be provided to the complainant (if requested).

- If the complainant is not satisfied with the outcome of step two they may request that the matter, be referred to an external dispute resolution process by ACTVET (The Awarding Body)

- If the complaint is not valid, the Managing Representative shall communicate with the customer who complained by email to give appropriate, accurate explanation and close the complaint.

- If the complaint is valid, it shall be subject for further investigation to determine the causes.

- If corrective action is required, the management representative shall propose corrective actions based on the identified root cause/s. The Academic Director shall provide the required resources to implement the corrective actions.

- Upon the implementation of the corrective action, the management representative will communicate with the concerned Department Head or personnel to monitor its effectiveness.

- All students, employees, and complainants are made aware of ASTI policies and procedures during their induction process, or can contact the receptionist/or any Manager of the institute for more details.

- Should ASTI not handle the complaint in the manner that is expected, the complainant will be advised to approach the external partners and until the individual is totally satisfied with the outcome.

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15. MALPRACTICE AND MALADMINISTRATION POLICY

15.1 DEFINITIONS OF MALPRACTICE

It is a practice of immoral, illegal, or unethical professional conduct or neglect of professional duty Breach of codes of conduct either by the Assessors, Verifiers and/or Learners in the institutional environment.

15.2 VIEW ON MALPRACTICE

Assessors/Verifiers

ASTI will not tolerate any form of malpractice as defined above, and termination of contract will be immediate if such malpractice brings ASTI into disrepute or causes harm to anyone.

Learners

Any suspected cases of candidate malpractice will result in withdrawal from the accredited program and reported to the Awarding Body.

15.3 EXAMPLES OF MALPRACTICE

15.3.1 Assessors/Verifiers

- Falsifying candidate evidence
- Forgery of signatures
- Breach of confidential information
- Careless or negligent use of information obtained during the course of assessment.
- Falsifying time sheets or expense claims
- Behavior deemed as unprofessional
- Direct discrimination or disadvantage to a candidate.

15.3.2 Learners

- Falsifying of evidence
- Forgery of signatures
- Breach of confidential information
- Careless or negligent use of information obtained during the course of assessment.
- Behavior deemed as unprofessional
- Direct discrimination or disadvantage to service users.

15.3.3 PROCEDURES TO BE UNDERTAKEN IF MALPRACTICE IS SUSPECTED:

- The person who initially suspects that any form of malpractice has taken place will in the first instance notify the Academic Director.
- The Academic Director will investigate the situation and submit a report to the Head of Institute.
- The Academic Director, together with the Head of Institute will decide on the course of action to be undertaken resulting from the investigation. This

may include seeking guidance from the Awarding Body depending on the specific malpractice.

- Any form of malpractice that is immoral, illegal, and unethical or results in neglect of professional duty will result in termination of contract for those employed with ASTI.

- For a candidate any form of malpractice that is immoral, illegal, and unethical or results in neglect of professional duty will in withdrawal from the accredited program and at the same time a report submitted to the regulatory body.

- The Academic Director will ensure that all stages of the process are documented and inform the affected parties of outcomes promptly.

- Those parties affected are entitled to appeal against the final decision. If this course of action is intended, the appellant must notify the Academic Director within 7 days and submit their appeal in writing to the Outwardly Mobile Head of Centre.

- The decision of appeal made by ASTI Head of Centre will be final.

15.3.4 RECORDING OF SUSPECTED MALPRACTICE

- Records relating to suspected cases of malpractice will be recorded and retained for a period of three years.

- Any forms of malpractice that result in criminal prosecution or civil harm will be retained for five years after the case has been heard.

15.3.5 Plagiarism and Cheating

Plagiarism and other forms of cheating will not be tolerated within the institution

If a student is suspected of cheating or is caught cheating for example: suspected of submitting an assessment that is not wholly his or her own work (plagiarism), copying in a supervised assessment, using unauthorized aids in supervised assessments a disciplinary action will be imposed or possibility of being withdrawn from the course of study.

Al Shabaka Technical Institute is responsible for upholding standards that promote academic integrity and student success. Every member of the faculty is expected to make fair and consistent judgments regarding student's records and will reflect their accomplishments.

It is expected that all the academically involved individuals will cooperate to resolve all the academic issues.

All appeals shall begin between the student and faculty and interactions should be documented properly.

If the student is dissatisfied and a resolution was not reached, the student must contact the manager to arrange a meeting to discuss the issue. Same applies to the Chairman

if resolution was not met with the manager.

The appellant must show evidences such as emails, documentation, etc. in support of their appeal.

The institution considers that an appeal may be made where there is evidence to show:
1. That the student's performance was affected by conditions that he or she could not perform or report for valid reasons,
2. That employees have not followed agreed guidelines and measures;
3. Unfair act towards a student by showing bias in the way they have made the relevant academic decision.

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2. The academic appeal has been made without any relevant evidence to show why it should be considered. Evidence from family or friends is not considered to be sufficient, to verify the circumstances claimed;
3. Evidence submitted to support the appeal can be shown to have been dishonestly obtained or is itself untruthful;
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16. NO SMOKING POLICY AND PROCEDURE

16.1 THE PURPOSE

- The policy is designed in line with the laws of no smoking in public places and the training environment is deemed a public place. Secondly, due to the Health & Safety fire hazard – this policy and its procedure is applicable to all employees, guest, or attendees of ASTI or during the driving of any of its vehicles.

- There is No smoking in the Institute and it will not be allowed within the facilities, or its vehicles at any time. The decision to provide or not provide designated smoking areas **outside** the facility will be at the discretion of Managing Director and the Building Owners.

16.2 THE POLICY

- Smoking is prohibited in all of ASTI Training premises including worksites and vehicles, common work areas, conference and meeting rooms, private offices, hallways, lunchrooms, stairs, restrooms.

- The decision to provide or not provide designated smoking areas **outside** the building or facility will be at the discretion of Academic Director and the Building Owner. While institution would try and make an area available to smokers, it in no way has any legal responsibility to do so. Any employees or visitors choosing to use such smoking areas do so at their own health risk.

- If the Building Owner has decided to make a designated smoking area, ASTI acknowledge the Safety Rules and requirements would be that the site will be located at least [10] meters from the main entrance.

- Visitors will be highlighted to this policy through No Smoking signage, and it should be explained professionally by any hosts, that they are in a no smoking zone for all.

16.3 THE PROCEDURE

- "No Smoking" signs shall be prominently displayed and properly maintained.

- Trainers will discuss the No Smoking during break-times with their Learners, and give alternative locations or areas that do permit smoking.

- Employee or sub-contractor's failure to comply with any policy or procedures will be dealt with through the correct institutional disciplinary procedures.

- A copy of the No smoking policy will form part of the new employees' induction process.

- Training and guidance on enforcing the No Smoking policy will from part of new managers' induction process.

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17. CERTIFICATE ISSUANCE

It is the policy of the Al Shabaka Technical Institute to confirm, before issuing a certification to a student, a student's compliance with all qualification-related legal or institutional requirements and obligations.

Only authorized staff are allowed to change any information on a candidate's record to ensure that no unauthorised alterations can be made

The certificates must be stored in a safe and secured area. Each must have a unique certificate code or number which shall be read in hard copy and electronically.

The Chairman and relevant personnel of the institution shall sign all the certificates (if required).

All certificates will be attested by the Government of Dubai (KHDA) and other awarding bodies (if required).

A candidate shall be entitled to all the privileges related to a qualification only after it has been officially granted to him or her

A qualification shall neither be granted nor a confirmation of the completion of a qualification be issued if a student has any outstanding fees and uncleared of any obligations in the institution.

Any certificate that has been delivered incorrectly by the institution shall not be valid.

The date of issue of a qualification shall be specified on a certificate as the date "with effect from".

Faculties are mainly accountable for the promotion of students in terms of programme rules and need to ensure that all students who complete their qualifications fulfill with all programme requirements.

All unclaimed certificates will be kept indefinitely in a safe and secure place until collected.

The certificates of debtors are only released upon proof of payment.

18. WITHDRAWAL OF QUALIFICATIONS

Students making a decision to withdraw from their programme of study should be supported to explore other options available to them, with withdrawal seen as a last resort.

Students decide to withdraw or are withdrawn from their academic programme and the institution for a variety of reasons:

Student wishes to withdraw from their programme

a. Student is required to withdraw due to academic failure
b. Student is expelled as the outcome of a student disciplinary process, a criminalconvictions panel or for academic misconduct.
c. Student is required to withdraw as an outcome of the fitness to study/practiceprocesses
d. Student is required to withdraw due to failure to abide by institution regulations(e.g. non-payment of fees)
e. Student fails (or ceases) to attend their programme
f. Student fails to arrive to study

All students considering withdrawal from their studies should seek academic advice and student guidance as soon as possible from both their Coordinators before making the decision to withdraw. Advice and guidance can also be sought from Personal Tutors.

If following advice the student wishes to proceed with withdrawal, s/he should confirm their decision with reasons by completing the cancellation of registration or withdrawal form.

International students studying on a student's visa should note that their sponsorship will be cancelled and their withdrawal will be reported to the Immigration office.

Once a student has been withdrawn from the institution he or she does not normally have access to systems and are not permitted to submit coursework or sit exams/assessments.

19. INTERNAL VERIFICATION POLICY AND PROCEDURES

19.1 Policy Statement:

Internal Verification (IV) is the process of monitoring assessment practice in order to ensure that assessment decisions meet the international standards. It provides a continuous check on the consistency, quality and fairness of the assessment of learners work.

ASTI is committed to ensuring that standards of assessment and verification are consistent, transparent and in line with the requirements of our awarding bodies.

19.2 Policy Aim

    a. To ensure that all learners work is fairly, accurately and regularly verified in a consistent manner.

    b. To meet and exceed the requirements placed upon us by the awarding bodies.

    c. To ensure that valid assessment decisions are reached for all our learners andthat external requirements are fully met.

    d. To support staff in their training and assessment activities by affording them theopportunity to receive critically supportive feedback on the assessment decisions reached.

    e. To assess learners work with integrity by being consistent and transparent in our Assessment and Verification judgments and processes so that the outcomes are fair, reliable and valid.

    f. To ensure that assessment standards and specifications are implemented fully, so that no risk is posed to the reputation of ASTI and that of the awarding bodies.

    g. To establish quality control and recording mechanisms for assessments through a system of sampling moderation and internal verification.

    h. To provide inclusive person-centered approaches to assessment, and verification that provide opportunities for to learners to achieve and progress.

19.3 Scope

This policy relates to ASTI accredited courses and applies to all internal moderation that encompasses all forms of activity that check and validate assessment.

It may be implemented through the systems of verification as required or laid down by examining or awarding bodies; or it may occur through formative and summative assessment and verification of learners work activities.

Responsibilities:

All staff has a responsibility to give full and active support for the policy by ensuring:

    i. The policy is known, understood and implemented.

Actions to implement and develop policy:

    j. Appropriately qualified or approved staff must carry out all internal verification. Ideallyall verification staff will complete the approved internal verification award. Where trainee internal verifier undertakes IV, this must be verified by a qualified IV and countersigned.

    k. Each course must have identified members of staff who will verify or standardize the assessments for that particular programme.

l. IV must be carried out continuously throughout the year. This should include cycles of formative and summative verifications. In addition to this, appropriate periods of time when IV takes place will be included in a calendar.

m. Any evidence that is produced must meet the requirements of the awarding bodies.

n. IV evidence must be recorded on appropriate documentation, which takes intoaccount the requirements of awarding bodies Quality System.

o. Internal verification must take place before assessment decisions are finalisedand notified to students and certification is requested.

p. Evidence that IV practice has taken place must be available for the Awardingbodies' annual quality review.

q. Internal monitoring of IV activity will be carried out via the training unit team onan ongoing basis

r. Records of IV must be kept in a secure location and accessed by staff authorized to do so.

s. All IV or moderationmust be in line with current awarding bodyrecommendations.

t. Sampling must be across all trainers, assessors, all types of evidence and alllearners including plans, reviews and records in addition to learners' evidence.

u. IV's must attend standardization meetings and maintain a current continuousprofessional development file.

Internal Verification (IV) is split into four main sections – sampling, standardization, monitoring, the development and support of assessors.

19.4 Sampling Strategy
Internal Verifiers will implement the following sampling strategy. Sampling will include:
* All units for the validity of assessment decisions for each assessor over a 12 month period including Mandatory and Optional units.
* The full range of age, gender, new starters, mid-term and well established learners.
* The full range of evidence and assessment methods.
* The first countersigned decision from each unit.
* Interim and summative assessment decisions – Internal Verification will not be an "end" process.
* Newly qualified and/or recruited assessors will be more frequently sampled until the Internal Verifier has confirmed effectiveness, reliability and quality of assessment decisions and practice.

19.5 Standardization of Assessment Judgments
The Internal Verifier is responsible for ensuring the standardization of assessment judgments and will:
* Ensure that written feedback to assessors contributes on an ongoing basis to the standardization of assessment decisions.
* Plan and implement standardization meetings with all assessors.
Internal Verifiers must ensure that standardization meetings:
* Focus on any revisions to the standards and how they differ from old standards, areas identified through monitoring where evidence has been difficult to

generate, or where monitoring suggests that assessors are taking different approaches.

- Focus on validity, sufficiency, currency, and authenticity of the evidence reviewed at the meetings – use actual learners portfolios/evidence; and
- Develop a supportive, non-threatening environment where assessors are willing to share issues and concerns in order to ensure that each assessor makes valid assessment decisions.

19.6 Monitoring Assessment Practice:

This policy will be monitored by the Training Manager/ Centre Quality manager and Verifiers and through established quality audit procedures.

The Internal Verifier will monitor the assessment process and will:

- Ensure that there is a clear and accurate audit trail of the IV and assessment processes relating to each learner incorporated within the IV and assessors records as well as the portfolio itself.
- Observe at least one assessment for each assessor annually as a minimum.

The level of observation may increase depending on changes in assessor experience, learner group, award standards, and internal procedures. All observations will be recorded.

20. EQUAL OPPORTUNITIES POLICY

20.1 THE PURPOSE

- ASTI has established its commitment to equal opportunity in employment and its training consumers. In order to provide equal employment, and educational advancement opportunities to all employees, learners and potential consumers.

- All decisions made at ASTI will be based on pure merit, qualifications, and abilities. ASTI policy and procedure governs all aspects of employment, including selection, job assignment, compensation, discipline, termination, access to benefits, and training development.

20.2 THE POLICY

- ASTI does not discriminate in employment opportunities or practices on the basis of race, colour, religion, sex, national origin, age, disability, ancestry, marital status, political affiliation or any other characteristic.

- All activities of ASTI including employment practices are designed so that existing and potential employees are able to compete for or be awarded; employment, promotions, transfers, training and other employment related benefits on their merits.

- ASTI employees and sub-contractor's activities will be conducted in a manner free of any discrimination.

- The use of any ASTI resources shall be undertaken in a non-discriminatory manner.

20.3 THE PROCEDURE

20.3.1 Managers are responsible for:

- Ensuring that the Equal Opportunity principles are applied in the Training Institute.
- Ensuring all decisions relating to appointment, promotion, training, assessments and accreditation decisions, or employee developments, are made without regard to any matters other than the individual's natural ability.
- Providing an environment which encourages equal employment opportunities and setting an example by their own behaviour.

20.3.2 Employees are responsible for:

- Complying with the terms of the Equal Opportunity policy and procedures.
- Treating all colleagues, learners, and consumers with respect and professionalism, without any regard to non-relevant criteria or differences.
- Promptly inform their line manager if there has been any breach in the Equal Opportunity policy.

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21. STAFF RECRUITMENT POLICY

Al Shabaka Technical Institute satisfies the staff involved with the teaching of students and the management of student-learning are qualified and competent. They should have sufficient relevant experience and teaching competency and their research profile should be adequate for the nature and level of the modules they are teaching.

Academic staffs are the single most important learning resource available to the most students. It is important that those who teach have full knowledge and understanding of the subject they are teaching, they have the necessary skills and experience to transmit their knowledge and understanding effectively to students in a range of teaching contexts and can access feedback on their own performance. Institutors should:

a. Appoint and promote staff is in line with the Recruitment, Selection, And Appointment Policy and Procedure;

b. Have a staff appraisal system is in the place that includes giving staff feedbackon their performance;

c. Have a peer observation of the teaching system is in place;

d. provide staff development opportunities for staff to enhance their skills in teaching including the taking of a Postgraduate Certificate in Teaching and Learning in Higher Education;

e. Ensure staff are engage in appropriate research and scholarship to support theteaching on the programme;

f. Have in place mechanisms to support poor teachers in improving their skills toan acceptable level and the means to remove them from teaching duties if theyfail to improve sufficiently;

g. Have in place an induction programme for all newly appointed staff;

h. All academic staff are provided with a post profile that clearly sets out the dutiesand responsibilities of their post;

i. All academic staff plan their workload at least once a year with their line manager.

21.1 Reviewing Institution Staff Structures

Al Shabaka Technical Institute shall review the staff structures frequently as part of the institution development, financial and curriculum planning to assess whether the deployment of staff is as effective and efficient as probable. A staffing evaluation is about warranting that the institution is always capitalising in the right mix of staff, and in high quality professional development, to deliver excellent learner's outcomes.

21.2 Key activities

1. Plan an assessment, gather pertinent information.
2. Analyse of the staff level, assumed by the institution management. This is based on institution development priorities, curriculum planning, forecasts of learner numbers, anticipated future funding and benchmarking against other institutions.
3. Discussions about the conclusions from the evaluation of the staff level and the plan. If any recruitment or redundancies are being measured, it is important to consult for the professional Human Resource advice.
4. Consult all staff regarding proposed staffing changes and study the proposed plan accordingly.
5. Start recruitment procedures where appropriate.
6. Complete any appropriate changes according to the allocated budge. Continue any recruitment processes.
7. Where suitable, carry out supplementary consultation.
8. All staff are consulted on the proposed staffing structure. This consultation will facilitate ways that redundancies could be prevented, and how to alleviate the effect of redundancies.
9. Evaluate progress on the plan and revise accordingly.

Basic Class Teacher Complement

Number of Learners	Teaching Allocation
1-25	1
26-50	2
51-75	3
76-100	4
101-125	5
126-150	6

21.3 Staff Requirement

Selection will be based on merit, which is determined through an assessment of an applicant's qualifications, experience and standard of work performance and personal qualities relevant to the requirements for the position and relative to the credentials and attributes of other applicants.

Recruitment Strategies that may be considered include, but are not limited to

a. External Advertising
b. Use of search agency
c. Internal advertising
d. Appointment by secondment
e. Direct appointment
f. Application by invitation
g. Appointment from eligibility list
h. Application by expression of interest

Selection committees will be assigned to shortlist applications, interview and recommend applicants and employment. They may vary in size, depending on the situation and position which arise according to the requirement. The person constituting the selection committee will seek gender representation and diversity of membership which has sufficient expertise in the discipline area. It will consist of persons who are equal of senior in rank to that of the expected appointment. The delegated officer will approve final membership of the selection committee. If a selection committee member must be replaced at short notice, the delegated officer will determine whether it is practicable for a replacement member to participate in the selection process. The Chairman and General Manager may be members of any selection committee.

21.4 Selection Process

1. In the event an interview is required, applicants may be interviewed either in person or, where this is not possible or practicable, by telephone or video conference.
2. Applicants should be asked similar core questions based on the requirements for the position. Supplementary questions may be asked to clarify issues or to obtain further information deemed by the selection committee to be relevant to identifying the best applicant.
3. Applicants will not be questioned in relation to age, gender, marital status, pregnancy, family responsibilities, racial or ethnic origin, religious or political affiliation, disability status, sexual preference or transgender status, except where the position is an identified position (that is, a particular characteristic such as ethnic origin or language background is included in the selection criteria).
4. In order to satisfy itself that an applicant with a known disability can meet the inherit requirements of the position, the selection committee may explore with the applicant any potential barriers to effective performance that could arise out of the environment and examine feasible solutions. That is, the selection committee may explore with the applicant the means to accommodate their disability so that they can perform the core duties of the position effectively. However, selection committees should be careful to ensure that all questions are framed in terms of the requirements of the position. It is not lawful to make a request for information about a disability over and above that which is reasonably intended as a means of identifying necessary adjustments. Where the selection committee is uncertain about suitability of an applicant with disability, either because of the nature of the disability or restrictive barriers in the workplace, advice should be sought from the Manager, Diversity and Equity and outside experts in order to avoid the possibility of making a decision which is discriminatory.
5. Applicants should be asked to confirm their reference and the relationship of each, e.g. The most recent supervisor relevant to the selection criteria.

21.5 Examples of Possible Guide Questions for Interview

1. Tell me about yourself.
2. Why should I hire you?
3. What is your long-range objective?
4. What is your greatest accomplishment?
5. How has your education prepared you for your career?
6. Are you a team player?
7. Have you ever had a conflict with a boss or professor? How did you resolve it?
8. What is your greatest strength?
9. What is your greatest weakness?
10. If I were to ask one of your professors (or a boss) to describe you, what would he or she say?
11. What qualities do you feel a successful manager should have?
12. How would you describe your ideal job?
13. Why did you choose this career?
14. What goals do you have in your career?
15. How do you plan to achieve your career goals?
16. What do you think it takes to be successful in this career?
17. What accomplishments have given you the most satisfaction in your life?
18. Would you rather work with information or with people?
19. What motivates you?
20. Are you a goal-oriented person?
21. What are your short-term goals?
22. What are your mid-range goals?
23. Where do you want to be ten years from now?
24. Do you handle conflict well?
25. Do you handle pressure well?
26. What major problem have you had to deal with recently?
27. How much training do you think you'll need to become a productive employee?
28. Why do you want to work in the _____industry?
29. What do you know about our company?
30. Why are you interested in our company?
31. How familiar are you with the community that we're located in?
32. Are you willing to relocate? In the future?
33. Are you willing to travel?
34. What kind of salary are you seeking?

21.6 Eligibility List

An eligibility list should be established where a selection committee determines that there are other applicants who satisfied the criteria for appointment.

22. EMPLOYEE TRAINING AND DEVELOPMENT

Al Shabaka Technical Institute is dedicated to developing a solid learning environment, in which everyone is able to maximize their potential, and which will increase work satisfaction and enable career advancement. This will benefit both the employee and the organization. We aim to make them feel confident about improving their capabilities, as well as being

This policy covers all permanent, full-time or part-time, employees of the institution including employees with temporary/short-term contracts with the administration's discretion.

This applicable for external or supplementary employees like contractors or consultants.

All institution members should all work together to build a continuous professional development. It's everyone's concern to seek new learning opportunities. It's manager's responsibility to mentor and identify employee development requirements. And it's HR's accountability to enable staff development events and processes.

Generally, we approve and encourage the following employee trainings:
   a. Formal training sessions
   b. Employee Coaching and Mentoring
   c. Conference and workshop participation

Included in our learning and development requirements, we can also organize for subscriptions or educational material, so employees will have access to news, articles and other materials that can help them become better at their job as long as the materials are related to work and fees does not exceed with the maximum budget allotted per head.

This list excludes software licenses or other tools that are generally necessary for employees' jobs.

22.1 Individual training programs
All employees that have worked for the company more than three months are qualified to attend in external training programs individually or in teams. Each employee will have a budget set every beginning of the year and also subject for renewal and review annually.

Employees can select to attend as many training programs as they want, provided they don't exceed the budget allotted. If they do, they'll have to pay any further fees themselves.

Employees are required to bring proof of attendance.

Any employee training that the institution mandates is excluded from the employee training budget. The institution may/may not take care of the overall cost.

22.2 Corporate training programs

The Institution may/may not cover the all the cost in this occasion. Some example of training and development activities are:

d. Equal employment opportunity training
e. Diversity training
f. Leadership training for manager and department heads
g. Conflict resolution training
h. New Employee training
i. New system or policy training
j. Training preparations for promotions, transfers or new responsibilities

22.3 General guidelines

k. All qualified employees are covered by this policy without discriminating againstrank or protected characteristics.
l. Manager should assess the success of training efforts. They should keeprecords for future reference and opportunities.
m. All employee development efforts should respect cost and time limitations, aswell as individual and business needs.
n. Employees should try to make the most out of their trainings by studying andfinding ways to apply knowledge to their work.

22.4 Procedure

This procedure should be followed when employees want to attend external training sessions or conferences:

1. Employees identify the need for training.
2. Employees discuss potential training programs or methods and come up with suggestions.
3. Employees communicate HR and briefly present their proposal.
4. HR studies the proposal, with attention to budget and training content.
5. HR has the discretion if a proposal is approved or rejected. If they reject it, they should provide employees with written rationale.
6. If HR approves, arrangements for dates, accommodation, reserving places etc. will be made
7. In cases where the employee paid for his/her expenses. HR may/may not approve employee reimbursement after employees bring all relevant receipts and invoices.
8. If an employee decides to drop or cancel a training, they'll have to inform HR immediately. They'll also have to shoulder any cancellation or other fees.
9. In cases where training ends with examination, employees are obliged to submit the results. If they don't pass the exam, they can retake it on their own expense

23. HEALTH AND SAFETY INSTRUCTIONS

23.1 The Purpose of this document

Basic Policy

It is the policy of the Organization to:
- Ensure a safe and healthy working environment for employees, outsourced personnel, and visitors in accordance with relevant legislative obligations.
- Ensure that the occupational health and safety management is of the highest standard.

23.2 Expectation and general guidance rules

23.2.1 Responsibilities

➢ **Health, Safety, and Security Section:**

The Health, Safety, and Security Section is responsible for:
- Ensuring the availability of a relevant management system in place;
- Promoting safe work practices among employees;
- Conducting the necessary safety drills on a regular basis to ensure the effective handling of an emergency at the workplace;
- Investigating incidents and accidents in order to rectify any shortcomings and set preventive actions.

➢ **Human Resources Department:**

The Human Resources Department is responsible for:
- Ensuring proper orientation for new employees on occupational health, safety, and environment;
- Maintaining records of employee-related occupational health and safety issues;
- Providing reports and statistics on employees' injuries and any compensation provided in conjunction with them;
- Implementing relevant disciplinary action(s) as necessary.

➢ **Capability Development Department:**

The Capability Development Department is responsible for:
- Coordinating the provision of the necessary training to employees, for example first aid and firefighting etc.

23.2.2 Legal Department:

The Legal Department is responsible for:
- Providing advice on the legality of the action to be taken by the Organization in cases of serious accidents and / or injuries which happen at the workplace.

23.2.3 Line Managers / Supervisors:

Line Managers / Supervisors are responsible for:
- Ensuring that their subordinates are aware of the Organization's Health, Safety, and Security policies and procedures.

- Ensure and encourage employees to report any near misses, incidents, or hazards that may cause injury or illness.

23.2.4 Employees:

Employees are responsible for:
- Complying with the set Occupational Health, Safety, and Environment policies and procedures;
- Reporting any near misses, incidents (including violence), and hazards that may cause injury or illness;
- Participate in training arranged to support the implementation this policy and procedure.

23.3.5 General Provisions

The Organization's employees who are seconded to other entities will follow the Occupational Health, Safety, and Environment policies and procedures of the respective entity. Employees who are seconded to the Organization will follow this policy and procedure.

23.4 HEALTH

23.4.1 Smoking:

- The Organization recognizes the negative impact of smoking on the health of the individual and the right of other people to be protected from the dangers of passive smoking. Therefore, smoking is prohibited in all the Organization's buildings, offices, and vehicles.

- "No Smoking" signs will be displayed conspicuously to ensure that not only employees, but also others on the premises are aware of the Organization's policy in this regard.

- Employees not abiding by this policy will be subject to disciplinary action.

23.4.2 Contagious Diseases:

- The Organization will ensure that employees infected with, or have family members infected with, curable contagious diseases (such as, but not limited to, chicken pox, German measles, and measles) are given sick leave subject to the provision of the necessary medical reports.

- The Organization will ensure that all new recruits are fit to work through the necessary medical check-ups required at the recruitment and selection stage.

- The Organization will ensure that all employees are free from Human Immunodeficiency Virus (HIV), Hepatitis C, AIDS, and others through regular medical check-ups.

23.5 WORKPLACE SAFETY

23.5.1 Safety Sign Boards:

- The Organization will display, at a prominent and conspicuous place, detailed and clear instructions on measures related to prevention of fire, the protection of employees from any hazards that they might be exposed to during the performance of their duties, and ways to deal with occurring accidents / incidents.
- Safety sign boards will be written in Arabic and in other languages understood by the employees.
- The Organization will provide selected employees with firefighting training.

23.5.2 First Aid:

- The Organization will make available first aid kits at its premises to ensure the availability of supplies and equipment necessary to handle first aid treatments.
- The Organization will provide selected employees with first aid training including Cardio-Pulmonary Resuscitation (CPR).

23.5.3 Work Environment

The Organization will take the necessary measures to ensure that the work environment provides sufficient protection for the employees' health and safety. This includes:

- The space assigned for each employee shall not be less than 400 cubic feet;
- The provision of sufficient and appropriate lightening (natural or artificial);
- The floor of the work place shall have an even surface made of material suitable for the work in progress;
- The provision of sufficient space around machinery in order for employees to move and perform their day-to-day duties without obstacles.
- The fire extinguishing equipment is always maintained and is placed in unobstructed locations which are easily accessed.

REVISION HISTORY				
Ver No.	Developed by	Date	Approved by	Review Date
1	Academic Director	Sept. 2021	Operational Manager	Sept. 2024

24. RISK ASSESSMENT POLICY

The Al Shabaka Technical Al Shabaka Technical Institute are fully committed to promoting the safety and welfare of all in our Al Shabaka Technical Institute community so that effective education can take place. Their highest priority lies in ensuring that all the operations within the Al Shabaka Technical Institute environment, both educational and support, are delivered in a safe manner that complies fully with not just the law but also best practice. The Al Shabaka Technical Institute is committed to assessing the risks to our employees, students, visitors and wider community who could be affected by our activities. This policy applies to the whole Al Shabaka Technical Institute.

24.1 AIMS OF THE POLICY
The aim of this policy is to:
- a. protect both the Al Shabaka Technical Institute and individuals (including students and employees) from unnecessary risks by ensuring risks are properlyidentified and managed
- b. Ensure consistency of approach and management across the wide range of activities that the Al Shabaka Technical Institute is involved in

24.2 What is a risk assessment?
A risk assessment is a tool for conducting a formal inspection of the harm or hazard to people (or an organization) that could result from a particular activity or situation.
- c. A hazard is something with the potential to cause harm
- d. A risk is an evaluation of the probability (or likelihood) of the hazard occurring
- e. A risk assessment is the resulting assessment of the severity of the outcome (e.g. loss of life, destruction of property)
- f. Risk control measures are the measures and procedures that are put in place in order to minimize the consequences of unfettered risk (e.g. staff training, clear work procedures, preliminary visits, warning signs, barriers and insurance).

Risk assessments can be used to identify the potential hazards to people (slipping, falling), property (fire), strategic (reputation, loss of students, impact on development), financial (falling students rolls), compliance (child protection issues) and environmental (asbestos, legionella). Accidents and injuries can ruin lives, damage reputations and cost money. Apart from being a legal requirement, risk assessments make good sense – focusing on prevention, rather than reacting when things go wrong.

Risk assessments need reviewing and updating regularly and in accordance with legal and regulatory requirements across all other areas of compliance.

There are numerous activities carried out in the Al Shabaka Technical Al Shabaka Technical Institute, each of which requires its own separate risk assessment. The most important of these cover Fire safety, procedures and risk assessments

However, risk assessments are also needed for many other areas, including

g. Science experiments
h. Design and Technology
i. Each sport and PE activity
j. Educational Visits
k. Social Events/Functions – in andout of Institution
l. Medical and First Aid
m. Classrooms
n. Physical Education Equipment
o. Cleaning Department
p. Maintenance Department
q. Pregnant workers
r. External contractors
s. Site Security
t. Slips and Trips
u. Noise
v. Ladders and Heights
w. Gas
x. Electricity
y. Water
z. Child Protection
aa. Manual Handling
bb. Electrical Equipment

All teaching staff and technicians must receive an induction and refresher training in risk assessments tailored to their specific areas.

24.3 Conducting a risk assessment - responsibilities

Overall responsibility for risk management within the Al Shabaka Technical Al Shabaka Technical Institute is with the Governing Body.

Risk assessments are practical tools designed to assist instructors and support staff who are in charge of an outing, activity or event inside or outside of the Al Shabaka Technical Institute. There are several possible techniques or models that can be used and all staff and technicians responsible for carrying our risk assessments will be trained in how to use and complete risk assessments that are used in the different areas.

Staff are responsible for taking reasonable care of their own safety, together with that of students and visitors.

All members of staff are responsible for reporting any risks or defects to the Estates Manager and/or through the Health and Safety forums.

When conducting a risk assessment in any area consideration should be given to the likelihood any hazard could potentially cause harm. This will determine whether action needs to be taken to reduce the risk. Even after all precautions have been taken some risk usually remains. A decision is then made to determine whether the remaining risk for each hazard is high, medium or low. The aim is to make all risks LOW. The ASTI will cease any activity or event where the risk is deemed to be HIGH.

In order to determine the low/medium/high risk status consideration has to be given to the likelihood of a situation occurring (from 1 – rare to 4 - likely) and the severity of the consequence of the situation occurring (from 1 – minor to 4 – catastrophic). The likelihood and impact scores are then plotted into the table below to produce a "risk rating":

24.4 Risk Rating Matrix

Consequence Likelihood	1. Minor	2. Moderate	3. Major	4. Catastrophic
4. Likely	4	8	12	16
3. Possible	3	6	9	12
2. Unlikely	2	4	6	8
1. Rare	1	2	3	4

24.5 Risk Rating Actions

Grade	Risk mitigation actions
L 1-4	**LOW**: These risks should be recorded, monitored and controlled by the responsible manager.
M 5-8	**MEDIUM**: These risks should be recorded, monitored and controlled with mitigation actions to reduce the likelihood and seriousness identified and appropriate actions to be identified and endorsed at SLT/OLT level.
H 9 and above	**HIGH:** This level of risk could pose a significant impact on an individual/group of individuals or overall Institution community. No risks assessed as "high" will be taken by the Institution. The Head and Compliance Committee should be advised of identified risks which have been graded at this level.

All means of restricting or avoiding risk should be considered. Where a vent/activity is identified as HIGH risk it will not be allowed to continue.

24.6 Review Of Risk Assessments
All risk assessments should be regularly reviewed.

Risk assessments should also be reviewed (and recorded), when major structural work is planned, or in the event of an accident/incident. The Al Shabaka Technical Institute shall conduct regular health and safety audits of its plant, machinery and equipment, together with its arrangements for auditing the catering and cleaning functions and for water sampling.

25. CENTRE CONTINGENCY AND ADVERSE EFFECTS POLICY

The purpose of this policy is to inform the staff team at ASTI how to prevent, handle and report 'adverse events' and to ensure that any adverse effects that do occur are managed and reported in an appropriate and timely manner and that all lessons are learned to ensure that a similar event does not happen again.

a. Reporting adverse events will:
b. Inform risk management and contingency planning
c. Provide information to improve systems and processes
d. Enable prompt remedial action to be taken and prevent recurrence
e. Provide an opportunity to share learning from adverse events within the team
f. Assist decision-making, planning and future resource allocation
g. Provide information and reassurance to the Awarding Organisations (AO) thatASTI is committed to managing potential risks.

25.1 Roles and Responsibilities
The ASTI General Manager Has a responsibility to:

h. Promote a culture where it is acceptable and safe for all staff to report all adverse events, including near misses and where adverse events can be openly discussed
i. Ensure that there is a system in place to communicate 'lessons learned" acrossthe institution (i.e. Briefings and minutes of meetings)
j. Ensure that an investigation appropriate to the level of risk has been undertaken
k. Notify Awarding Organization partners as appropriate

All Head Teachers have a responsibility to:

l. Notify the General Manger immediately of any adverse event which they believerequires notification to a regulator
m. Promote a culture where it is acceptable and safe for staff to report all adverse events, including near misses and where adverse events can be openlydiscussed
n. Investigate and take action, when requested or required to do so, on all adverseevents referred to them
o. Action is taken and all reasonable steps put in place to prevent reoccurrence ofany adverse event
p. Ensure that lessons are learned and communicated following an adverse event

ASTI relies on staff to prevent (where possible) and notify their line manager promptly of any events or near miss to enable the General Manager to manage any adverse effects effectively.

All staff have a duty not to disclose any information regarding adverse events or investigations to any other person outside of institution (such as social networking sites). Staff are reminded that inappropriate disclosure of information could lead to disciplinary action.

25.2 Procedure for dealing with an Adverse Event

Any near misses or actual adverse events should be reported to line managers in the first instance and then to the General Manager. Details of the adverse event should be emailed using the guidance below to ensure a complete picture of the adverse event is identified:

What – what happened?
- q. The qualifications, subjects, assessments, certificates affected
- r. The nature and cause of the incident (lost assessments/evidence, it systems/software failure, lack of or errors in resources)
- s. How the incident came to light

Who – who is involved?
- t. Number of students and/or staff affected
- u. Whether students and other stakeholders are aware of the incident
- v. The possible or actual impact on students

When – when did it happen?
- w. Dates/times
- x. When may the effects be felt?

Where – where did it happen?
- y. Location(s) including institution or employer premises

Why – why did it happen?
- z. Actions already taken or planned by the institution to identify causes and effects and to mitigate adverse impact. It will also be useful to state the likelihood and impact of the adverse event identifying whether the event is minor or could significantly impact the institution, students or third parties

The following risk rating structure provides some guidance

Minor - could cause some embarrassment to the institution if information came to light. Could result in non-compliance and may escalate if no action taken.
Moderate - the risk has already been identified and actions put in place however there has been one occurrence.
Significant - may impact a number of students and/or third parties and has the potential for reputational damage and AO/regulatory non-compliance.

25.3 Investigations Team

The General Manager in conjunction with the Awarding Organization team will organise for an investigation team to be put in place to establish and report on the facts of any adverse event that has been reported of a significant nature. If the adverse event involves suspected malpractice then the investigation will be conducted in line with the Malpractice Policy.

The aim of this will be to:
- aa. Confirm the facts, establish additional factors, circumstances and scale
- bb. Confirm or identify the cause
- cc. Obtain evidence
- dd. Identify any patterns or trends
- ee. Identify any changes to policy or procedure that need to be made by theinstitution

There are certain principles that will be observed for conducting investigations:
- ff. Confidentiality
- gg. Rights of individuals to be accompanied
- hh. Retention and storage of evidence and records
- ii. Following an adverse event, the results of the lessons learnt will be disseminated to staff via their managers

25.4 Information to include when reporting an incident/event

In the first instance the General Manager will telephone the regulatory authorities and follow up with a written summary of the incident event.

Where possible, initial notification of an event to the AO will include:
- jj. The qualifications, subjects, units, assessments affected
- kk. The number of students affected
- ll. The nature and cause of the incident
- mm. The possible or actual impact on students
- nn. How the incident came to light
- oo. Whether other institutions/students/stakeholders are aware of the incident
- pp. Action plan detailing already taken or planned by the institution to identifycauses and effects, and to mitigate adverse impact.

26. BACKUP AND RESTORATION (IT) POLICY

26.1 Objective
To minimise IT Security and Business Continuity risks associated with data loss by defining a sound backup regime for all centralised IT data services.

26.2 Scope
All Authorised Users of Al Shabaka Technical Institute IT Services, Facilities and Infrastructure and all IT Services, Facilities and Infrastructure.

26.3 Procedure

Step	Details	Responsibility
1.	The frequency and extent of backups must be in accordance with the importance of the information. The Data Custodian will determine the importance of the data via risk assessment and notify IT Services of the required backup frequency.	Data Custodian
2.	The backup and recovery process for each system must be documented, and reviewed at least annually.	IT Officer Data Custodian
3.	Physical access controls must be implemented to protect physical backup media. When backup media is stored onsite (within IT Services locations) physical access controls must meet those defined in the IT Physical Security Procedure. Offsite backup storage locations must meet or exceed the physical access controls of the source location. Backup media must be protected in accordance with the highest sensitivity level of information stored.	IT Officer IT Security Manager
4.	Backup operations must include verification processes to ensure the integrity of the operation.	IT Officer
5.	Backups must be periodically tested, at least annually, to ensure that they are recoverable.	IT Officer
6.	Procedures between IT Services and any offsite backup storage vendor must be reviewed at least annually.	IT Security Manager Chairman
7.	Tape drives, cleaning tapes and other backup media must be maintained according to manufacturer's recommendations.	IT Officer

26.4 Data Backup and Restoration Procedure

Backup tapes and other backup media must have at IT Officer a minimum the following identifying criteria:

     a. System name;

     b. Creation date;

     c. Backup set name, and;

     d. Data Custodian contact information

27. STANDARDIZATION POLICY

27.1 PURPOSE SCOPE

Standardization is the process to ensure that the assessment criteria for a qualification or unit are applied consistently by assessors, moderators and verifiers'.

This policy helps to facilitate standardization meetings to maintain the standard, keep the team's eye in to level, and address particular aspects of assessment which may be causing a problem. Applying this policy ensures the consistency and appropriateness of assessment methods; types of evidence; feedback etc.

27.2 POLICY STATEMENTS

- Personnel who may be involved in the standardization meeting are assessors, internal verifiers, quality assurance manager, learners and others where delivery is off site with instructors or work experience providers.

- Standardization is a continuous process. Meetings are being held before and after developing assessments to ensure the principles of assessments are met.

- Standardization meetings are held before using the assessments.

- Standardization meetings are held after grading the assessments and before communicating the final decision to the learner.

- The standardization team must identify and share good practice. The standardized form must be signed by all attendees.

- A venue must be arranged for the meetings and all needed resources must be available.

- Decisions made in the standardization meeting must be applied by assessors.

27.3 ACCOUNTABILITIES

- Implementation: Internal verifiers & quality assurance manager
- Compliance: All staff involved in the teaching and learning process

27.4 RELATED FORMS

Standardization meeting form

REVISION HISTORY				
Version No.	Developed by	Date	Approved by	Review Date
1	Academic Director	Sept. 2021	Operations Manager	Sept. 2024

28.   COPYRIGHT POLICY

- ASTI aware that whenever it develops any qualification, it will ensure to declare copyright to VETAC or NQC. Also it ensures that those National Qualifications which are already listed in QRIS, ASTI will never claim to be copyrighted. It will only design the pathways.

- In case of delivering any training programs under mutual agreement between ASTI and the third party, the ASTI will deliver, monitor and evaluate the program. For any kind of change or amendments it will liaise with that party.

- ASTI ensures that it will definitely notify to VETAC for any kind of changes or amendments in the program which third party delivers under the agreement whenever if required. Also it will provide the relevant documents and evidences to VETAC to confirm that the program is relevant and up-to-date to the market and not compromising the quality and integrity of the learning outcomes and comply with QASR standards at the time of program registration.

- Simultaneously, ASTI will notify the third party copyright owner, about the consequences when any amendments or changes arises within the third party's program, which will significantly impact on its registration status with VETAC. Also it will seek immediate resolution and liaise with VETAC to explore the options or requirements which ensure the compliance with QASR.

- ASTI ensures that it will always use clear statements regarding its qualifications, awards and programs and will never make any misleading statement against its programs.

REVISION HISTORY				
Version No.	Developed by	Date	Approved by	Review Date
1	Academic Director	Sept. 2021	Executive Council	Sept. 2024

29. CUSTOMER SERVICE PROCEDURES

29.1 The Purpose

- The purpose of this procedure is to ensure that all ASTI customers are satisfied with the services.

29.2 The scope

- The producers apply to all ASTI staff members

29.3 General Guidance

1. Reliability

- Always do exactly what you have said you will do for a customer – if not more.

2. Efficiency

- Make eye contact with visitors within 30 seconds of their arrival and great them as soon as possible. Introduce yourself and use their names if appropriate.
- Explain the current circumstances (e.g. if you need to serve other customers at the same time) and share your attention evenly.

3. Presentation

- Good grooming and personal cleanliness are expected at all times.
- Presentation should be neat and appropriate and voice presentation should portray relaxed professionalism and confidence.

4. Professionalism

- Accuracy and knowledge combined with a customer-focused attitude will ensure you maintain professionalism whilst building customer relations.

5. Courtesy and Tact

- Always treat customers with respect and courtesy. Avoid too much familiarity and monitor their reaction to your approach. Thank them for their business and ensure they are aware you appreciate their custom.

6. Flexibility and Convenience

- Maintain a 'can-do' attitude. Even if the request is unusual, think about how we can either satisfy their request or provide alternative options.
- Make it easy for them to do business with us.

7. Communication

- Keep customers well informed about things that affect them. Let them know if there are delays and be apologetic if they are inconvenienced. Make sure they know you are concerned about their experience. Build a rapport without intruding and communicate with them clearly to ensure messages are consistent.

8. Credibility

- Do not promise what you cannot deliver. Be sincere and make a genuine effort to fulfil the customer's expectation. Follow up and confirm satisfaction. Always provide updated information.

9. Understanding the customer

- Make an effort to 'read' the customer and their reactions. Are they relaxed and comfortable? Do they feel anxiety? Are they confused? Once you have established any uncertainty, ask questions and put them at ease.

10. Attentiveness

- Be aware of your customer's needs and ensure they have all of the information they need.

11. Networking

- Always exchange business cards with the customers and ensure you have full information about their business needs.

In addition:

- Customers do not like to be told they are wrong – be diplomatic
- Lack of information creates uncertainty – provide as much information as possible when circumstances require a customer's understanding, e.g. when extremely busy 'Follow-up' often precludes a problem arising – recognize signs of dissatisfaction.

REVISION HISTORY				
Version No.	Developed by	Date	Approved by	Review Date
1	Academic Director	Sept. 2021	Operational Manager	Sept. 2024

30. FINANCIAL POLICY

30.1 The Purpose

The purpose of this Financial Policy is to ensure efficient and effective management of financial resources and audits. The Head Office Accountancy for ASTI applies to; budgets, profit and loss and all financial operating resources including company liability.

30.2 The Policy

- All ASTI financial systems will be subjected to regular internal and external audits, and monitored by the Private Office - Qualified Accountant, with defined a defined role and area of responsibilities for authorisation on behalf of the management.

- Review of the company's income and expenditure, related to ASTI, in relationship to the accounting decision-making will be monitored in monthly meetings by Authorised Power of Attorney and the Board of Directors.

- Bank reconciliation of ASTI account will be conducted at the Private Office in line with the general accepted accounting principle on a weekly basis.

- Monthly inventory and stock control levels, will be controlled by ASTI Check-List Inventory that will include essential operations provisions, but not be limited to; marketing material, training materials, stationery, refreshments supplies, cleaning supplies.

- All original general financial documentation; invoices, credit notes/refunds, PLO – local purchase orders, delivery notes, payment receipts, student enrolment – payment statues and copies of their cheque payments, will be securely and confidential maintained at ASTI (the nominated Financial Manager will be coordinator).

- All original official financial documentation; bank statements, cheque books, minutes of the Board of Directors monthly meetings, senior group approvals will be maintained by the authorised Qualified Accountant (who will co-ordinate directly

with ASTI nominated assistant, and/ or with the Managing Director).

- All original documents, both general and official financial evidence, will be made available for internal and external auditing.

- Annually the business accounts will be checked and certified by a recognised Practicing Accountant recognized international professional accounting body, and the yearly certified report will be made available to the authorised external inspectors on their request. And a certified financial statement clarifying the current financial status and projected viability financial status of ASTI in the next two to three years of business operations.

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Version No.	Developed by	Date	Approved by	Review Date
1	Academic Director	Sept. 2021	Operational Manager	Sept. 2024

31. MARKETING POLICY

31.1 DEFINITIONS

- The Institution – ASTI

31.2   AIMS AND OBJECTIVES

- The marketing policy aims to emphasize communication and unity of purpose.

- It assists the Institute to set a clear course for marketing and strategy and lays foundation for continual improvement.

- It assists the Institute to break down barriers between itself and stakeholders.

- To ensure that the Institute staff understand and implement our vision and mission.

- To market the Institute

31.3   MARKETING MANDATE

- Research into the labour market to ensure development of partnerships in order to promote quality in programme offering and economic responsiveness.

- To provide effective and efficient marketing for the Institute by establishing information needs through internal and external consultation of stakeholders and the process of organising and directing all Institute activities which relate to determining the market demand and converting the students to choose ASTI as their Institute of Choice.

- Develop the Institute's annual report.

31.4   MARKETING OBJECTIVES

- To consolidate information from research already done on the Labour Market needs.

- To ensure the creation of a platform to disseminate information about the Institute.

- To strengthen corporate branding.

- To build a positive image of the Institute.

- To influence that the curriculum offer and modes of delivery are determined primarily by the requirements of those it seeks to serve.

- To identify and target appropriately, specific market segments.

- To undertake effective promotional activities.

- To help the Institute achieve its recruitment targets.

- To maintain high quality customer care.

- To ensure ownership of the Institute programmes, events by staff and stakeholders.

- To ensure that programmes are offered from a customer and labour market's viewpoint.

31.5   CORPORATE BRANDING (IDENTITY)

31.5.1 Trading Name

- ASTI

31.5.2 Institute Site Information:

- Villa No. 191, Asharij Street, Al Ain, United Arab Emirates
- Telephone: +971 3 764 9933
- Email: info@theway-institute.ae
- Website: www.theway-institute.com
- Mailing Address: PO Box 24240, Al Ain, United Arab Emirates

31.5.3 Vision of Marketing

- The leader in the provision of quality learning and marketable skills

31.5.4   Mission of Marketing

- To ensure quality Human Resource development through sound policies
- To provide adequate, relevant and appropriate marketing infrastructure
- To provide quality and effective marketing management
- To ensure accessibility and affordability of marketing for the programs
- To provide marketing strategies to sell programs that meets the needs of the society.
- To ensure sustainable partnerships with communities.

31.5.5 Core Values

- Honesty
- Integrity
- Excellence
- Accountability
- Ownership
- Unity
- Diversity
- Respect

31.5.6 Usage of logo:

The Institute logo is to be used on all Institute documentation with the following Guidelines:

- The logo may not be produced on any documentation or promotional material without the approval of the Marketing Department.

- The colors of the logo must be produced as per color scheme.
- The logo may not be pulled out of proportion if re-produced.

31.5.7 Institute motto:

- The motto of the ASTI is: Together ensuring success.

31.5.8 Institute website:

➢ The Institute websites should:

- establish a Corporate Identity and create visibility for the department.
- provide an efficient method of delivering current, factual and official information to the public.
- market the Institute to external and internal stakeholders.
- Publish information about the Institute to support strategic goals and meet legislative requirements.

➢ Public information is to be published on the Institute website except where the management determines not to publish on the website because of the:

- high publication costs relative to the benefit of electronic accessibility.
- high publication complexity.
- low suitability for web delivery.

➢ The marketing department is responsible for website content and must ensure that:

- information on Institute's policies, programmes, services and initiatives is regularly updated, accurate and easy to understand.
- there is a mechanism on the Institute's website for receiving and acknowledging public feedback.
- the services and information resources provided through the website are comparable in quality and functionality to those delivered by other communication channels.
- people appearing in photographs published on the website have given permission for the use of their images.
- Privacy rights and copyright ownership are respected.

31.5.9 All PDF documents must show the size of the PDF e.g. 700kb, and must open in a new window to ensure the site remains open when the PDF is closed.

31.5.10 Third-party advertising and references on websites:

- Paid advertising is not allowed on any department's website.
- Organisations sponsoring institutional activities may only be acknowledged in text on relevant pages.
- Organisations sponsoring institutional activities may have their logos added to the Institute website if approved

- by the management, or designate. Only in exceptional circumstances will approval be granted.

31.5.11   Social media protocols:

- Any weblog ("blog") or presence on a social media site e.g. Facebook that identifies the author as an employee of the Institute, and/or refers to activities and policies of the Institute, must be sent to the office of the Quality assurance for approval before it is published on the Internet.

31.6 Marketing Material

- It is the responsibility of the Marketing Department to produce all marketing related material for the Institute.

- The Marketing Department should at all time display at meetings, Institute annual events such as graduation ceremony, marketing paraphernalia to foster Institute's goodwill.

31.7 Marketing Plans, Strategy and Implementation

The Marketing Department in consultation with core programmes will be responsible to develop marketing plans, strategy and implementation thereof.

31.8 Events Management

- All institutional events will include the participation of the Marketing Department.

31.9 Processes

- The Department will own and manage all marketing and customer related services.

- The design and layout of all Institute corporate will be the responsible of the Marketing Department. The contents thereof are the responsibility of the respective department.

31.10 Research

- Marketing research reports should be produced and circulated to relevant stakeholders within the Institute.

31.11 Evaluation

- The Marketing Department has to evaluate all programs half yearly to ensure that there is return on investment.

- Measuring tool has to be available at the beginning of every financial year.

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32.   RESERVE AND CONTINGENCY FUND POLICY

32.1 POLICY

- Adequate fund balance and reserve levels are necessary components of the Institution's overall financial management strategy and key factors in assessing the institutional financial strength and fiduciary integrity.
- Maintenance of a fund balance assures adequate resources for cash flow and mitigation of short-term revenue shortages, and enables multiyear planning for self-support program improvements.
- Expenditures drawn from reserve accounts shall require prior approval from the Authorized Person, unless previously authorized for expenditure within the institutional annual budget.
- Notice of such action will be presented to the Executive Council audit committee at their monthly meeting.

32.2 DESIGNATED FUND RESERVES

The Institution will maintain a reserve for designated training programs, including

auxiliary services and self-support programs, to provide for adequate cash flow, multi-year planning, and operating contingencies. Programs will be designated by the Academic Director or his designee. The reserves will have adequate fund for operating expenditures, unless a different level is necessary to sustain its operations.

32.3 CAPITAL RESERVES

The Institution will maintain, as necessary, a local capital reserves account to manage facilities needs that are not funded or are underfunded by the state. These funds will be designated as capital reserves by the CEO or his designee.

32.4 BOARD FUND BALANCE RESERVES

The Institution will maintain an annual board fund balance reserve. At the start of each fiscal year, 8 percent of the operating budget expenditures will be designated to this reserve for special board initiatives and unbudgeted emergencies at the board's discretion.

32.5 GENERAL FUND BALANCE RESERVES

The Institution will maintain a general fund balance reserve to provide for such items as adequate cash flow, emergencies, budget contingencies, multi-year planning, revenue shortfalls, unplanned but necessary expenditures, or operating changes that occur outside of the planned annual budget. The general fund balance reserves will be less than or equal to 15 percent of the institution's operating budgeted expenditures unless a different level is necessary to sustain operations.

32.6 RESTRICTED RESERVES

The institution will maintain all other funds required by law that are restricted as to type of use complying with federal, emirates, grantor, and office of financial management rules.

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33. Institutional Context

Internal Context		Monitoring & Review Methods
Technical	• Infrastructure and equipment used within the institute during training service	• Head of Departments to report any faulty infrastructure, equipment and/or machine.
Cultural	• Shared values (sustainability) • Team works	• Regular meeting, discussions and updates with the team on the operation issues.
Organization	• Policies and objectives • Guidelines strategies	• Head of Departments to conduct meetings with staff discussing the management system and areas for improvements.
Organizational Knowledge	• Existing policies and procedures • Existing standard specifications • Existing industry knowledge, standards and specifications	• Policies, processes and procedures are to be reviewed annually (at the minimum) to ensure that current practices are documented and communicated within the staffs. • Keeping up to date with the latest and current industry standards through

		conferences and obtaining membership with industry organizations.

External Context		**Monitoring & Review Methods**
Political	• Current legislation • Anticipated future legislation • Government policies on business	• Through meetings with the clients and potential clients • Keep tract on the changes and the updates of the governments' news
Economic	• Existing competitors' training service offerings	• Constant market survey
Social	• There is an increasing need of trainings for Security and safety, traffic and edification, Real state and Administrative business by the community / clients	• Discussion and updates with the team on the current situation and needs.
Technology	• Information and communication • Global communication • Availability of sophisticated training equipment and materials	• IT Manager to check on the software updates • Discussion and updates with the team on the technology used.

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34. TRAINING SERVICES PROCEDURE

34.1 Brief description

This process describes the step by step process of delivering training/course to the customers in an efficient and cost effective manner.

34.2 Purpose

The purpose of this procedure is to ensure that trainings/courses are delivered in an efficient and cost effective manner.

34.3 Scope

This applies to all trainings courses conducted by ASTI through external partners and providers which covers from pre-training delivery until post-training delivery phases.

This includes all trainings/courses attended by local nationals and expatriates.

34.4 Responsibilities

- The Academic Director has overall responsibility of this procedure, and ensures that resources are available for all training activities.
- The Training Manager is responsible for planning of trainings as well as the schedules.

- The Trainer is responsible to deliver the training with utmost confidence.
- The Training Coordinator ensures that all necessary documents are prepared prior to the training.

34.5   Procedure

34.5.1 PRE-TRAINING DELIVERY

➢ **Admission, Registration and Payment Processing**

- The Sales and Marketing In-Charge along with the Training Coordinator shall facilitate the admission and registration of a potential candidate.
- The Sales and marketing In-Charge shall ensure the student's course requirements are properly identified; that the student is given appropriate information about the course he/she is planning to take.
- The Sales and Marketing In-Charge/ Training coordinator shall evaluate the potential candidate is he/she meets the minimum requirements to enroll in a specific training/course.
- All queries and clarifications must be addressed before the registration process is continued.
- Once course/training to be enrolled is finalized, the student shall fill-up the Student Registration Form. The student shall ensure that all details entered in the form are true and correct (i.e. the complete name as this will appear in the training certificates).
- The student shall submit a photocopy of his/her identification document along with the Student Registration Form. Acceptable identification documents include passport, Emirates ID, etc.
- Upon submission of the Student Registration Form the student is required to pay at least 50% of the total cost of the training/course.
- Full payment shall be made a day prior to the end of the training course.
- A special payment schedule might be granted to students on case to case basis, provided that the student produces a written agreement with ASTI. An official invoice shall be issued for each payment made by the student.
- No official registration shall be made to a student unless the agreed down payment is paid.
- Upon completing the registration, the student shall be provided with the copy of the Training/Course Schedule.

➢ **Preparation of Training Materials**

- The Training Coordinator shall coordinate with the Training Manager or Trainer in preparing the materials needed for the training *(i.e. PowerPoint presentation file, student handouts, exercise sheets, Training/Course Attendance Sheet, Training Evaluation Form, etc.)*
- The Training Coordinator shall be responsible in reproducing the student handouts, exercise sheets, or other print outs that will be used during the training.

➢ **Assigning of Trainer**

- The Training Coordinator shall maintain a Register of Approved Trainers and shall keep records of all credentials.

- The Training Manager along with the Training Coordinator shall confirm a scheduled training/course of any type.

- Once confirmed, he/she shall verify if the training/course can be conducted by in-house or external trainer.

- If the course/training is to be delivered by in-house trainer, the Training Coordinator shall inform all details of the training/course to him/her.

- If the training/course is to be delivered by an external source, the Training Coordinator shall choose from the existing list of trainers for the most qualified or suitable person to deliver the training/course.

- The Training Coordinator shall communicate to the chosen trainer all details of the training/course.

- In case that no trainer on the existing list or in-house trainer is available, the Training Coordinator shall inform the Training Manager of the requirement.

- The Training Manager shall initiate searching for a qualified trainer. Once CVs are received the Training Manager shall evaluate his/her qualifications in coordination with the Academic Director. The candidates shall be scheduled for interview and/or training demonstration as necessary.

- The selected trainer shall be approved by the Academic Director.

- Once selection process in completed, the Training Coordinator shall include the selected trainer/instructor in the Register of Approved Trainers.

- The Training Coordinator shall communicate all details of the training/course to the new selected trainer and shall orient him/her about the training/course processes and ASTI's operational procedures and processes relating to training services.

- The Training Coordinator shall keep records of the trainers'/instructors' documents

34.6 TRAINING DELIVERY

34.6.1 Conducting the Training

- The students should understand the terms and conditions before the start of the training. The Training Coordinator shall ensure that student/s clarifications and issues are responded to accordingly before formally starting the course.

- Students shall be provided with necessary training/course materials such as course books, worksheets, etc. whichever is applicable.

- Student/s shall sign the Training/Course Attendance Sheet for every session.

- Students are expected to comply with all policies, guidelines and procedures of ASTI during the duration of his/her training/course.

- The Training Coordinator shall maintain all records of student admission.

34.6.2 POST TRAINING ACTIVITY

➢ **Trainer Evaluation**

- The Trainer shall be evaluated after each training/ course is completed. Details of the evaluation can be found in the Training Evaluation Form.

- Should there be any points for improvement identified, the Training Coordinator shall ensure that corrective actions for improvements are implemented to assure quality of training service delivered.

- The Trainer shall endeavor to respond to any complaints or implement actions for improvement to meet delegate's satisfaction.

- If in any circumstance the trainer/instructor is found unsuitable to deliver the training/course, he/she shall be informed in writing about the management's decision.

➢ **References**

- ISO 9001:2015 Clause 8.5 – Production and Service Provision

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35. ALCOHOL AND DRUGS POLICY

35.1 The Purpose

- The purpose of the Alcohol and Drug Substance Policy is to advice all, either internally employed, sub-contracted, training or external visiting, of the 'zero tolerance' stance the institute takes, on the unlawful drug use, supply, or abuse in or around the workplace.

35.2 The Policy

- No one internally employed, sub-contracted, trainee or external visitor is permitted to unlawfully sell, distribute, dispense, possess, transfer, or use alcohol nor controlled substance in the Institute, or wherever the company's work is being performed.

- No employee, trainee or visitor will be permitted to report to work or attend the institute for training under the influence of alcohol, controlled substances, or other drugs, which affect his or her alertness, coordination, reaction, response, judgment, and decision-making or effect the safety of themselves or others.

- No employee, trainee or visitor will operate any equipment, or drive machinery, or vehicle of the company while under the influence of alcohol or controlled substances/drugs.

- No employee, trainee or visitor will be permitted to be in possession of alcohol while being transported in another of the company vehicles.

- All employees, trainees or visitor will not be permitted to participate in consumptions of alcohol during meal, rest-breaks, or during mid-day working time – then return to work, or during any overtime work.

- Any employee, trainee, sub-contractor who violates this policy will be subject to immediate disciplinarily action up to and including dismissal for gross miss-conduct from the institute. And legal action or charges maybe bought against the person for damage limitation against institute.

- This policy forms part of new employees, trainee, and sub-contractor induction process.

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36. MEDICAL INSURANCE POLICY

36.1 The Purpose of the policy

- This Medical Policy serves as guideline for Health Care benefit coverage decision, and to assist individuals in the understanding of the welfare they will receive from the institute (if applicable). The purpose of Health Insurance coverage aid the employees and their families to take care benefits of essential medical needs.

36.2 EXPECTION and general guidance rules Insurance Eligibility

- All employees of the Institute are eligible for Medical Insurance Cover.

- The resident employee spouse (wife or husband who is not covered by medical insurance) is eligible for Medical Insurance Cover.

- The resident male children or male or eligible female employees until completion of age 22 years or when the child finishes full time education or assumes employment, whichever comes first.

- Unmarried, divorced or widowed female dependents irrespective of the age.

- Disabled male or female children irrespective of the age.

- Children of female employees, whose husband is handicapped and who is considered "Head of the family", and children of widowed or divorced female employee under her care, shall be accepted as eligible dependents (as per above criteria) for the purpose of medical treatment.

- The number of eligible children for expatriate employees is limited to four children.

- No maximum age is to be set for disabled male or female children.

- No maximum age is to be set for employees.

36.3 Conflict between medical policy and medical plan

- Medical policies are used to make benefit coverage determinations. In the event of conflict between a Medical Policy and any plan document, the Plan document will govern (only: if complaint with the UAE Laws).

36.4 Confidentiality of Medical Information

- Medical information about individual staff members is to be treated confidential. The Institute will take reasonable precautions to protect such information from inappropriate disclosure. Any staff member who has legitimate access has a responsibility to respect and maintain the confidentiality of the medical information.

36.5 Effective Date

- Insurance begins on the first day of your employment.
- Human Resources Coordinator will hand the employee the insurance card on the first day of employment.

36.6 Separation

- Upon separation of employment for whatever reason, insurance coverage will seize at the time of visa cancellation.

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37. MEDICAL PROCEDURE

37.1 Brief description

- The objective is to ensure that in unfortunate event of an accident, or emergency medical situation, the casualty has the immediate attention from an individual certified as First Aider'' and operate only in-line with the Good Samaritan Law' until the Emergency Service arrive.

37.2 RESPONSIBILITY

- The Nominated First Aider must ask for permission from the casualty, to assist them, before they make any physical contact with the individual. If this is permission is refused then the First Aider must remain near to the casualty until the emergency services arrive, or the contact that the casualty has agreed you can call.

- If the casualty is unconscious, the First Aider must take the appropriate medical action to prevent the possibility of death, or more injury.
  - The time between the occurrence of the accident and the arrival of the Emergency Services and transport to the hospital is critical.
  - The aim of the First Aider is to prevent deterioration and protect the injury.
  - The medical circumstance of an individual can often be detected by the breathing condition and skin.
  - Keep the casualty calm; ask questions in order to gain information that will help the Emergency Service should the casualty slip into un-consciousness.

37.3 Sample questions: *Can I help you?*

Are you on any medication?

What are your symptoms?

Is this the first time this has happened to you?

Do you have any previous medical history?

How long have you been feeling unwell?

Can I contact somebody for you?

37.4 General Action: *Put the casualty in a resting position or in the Recovery*

Positions.

Do not administer medicine, sedatives, food or drinks.

Establish information for completion of the accident log/for

Emergency Service

Stay with the casualty until the emergency services arrive

- Complete all the forms, and follow the policies and procedure.

- Most important, follow-up on the progress of the individual to ensure the person is in recovery.

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38. PROCEDURE FOR MANAGEMENT REVIEW MEETING PROCESS

38.1 Brief description

This process describes the approach of ASTI in terms of conducting a management review to ensure the continuing suitability and adequacy of the Quality Management System.

38.2 Purpose

This procedure describes the process for conducting Management Review for the Quality Management System by ASTI at suitable intervals. These reviews are undertaken to ensure the continuing suitability and effectiveness of the system in satisfying;

- ▶ The policies and objectives and of the company
- ▶ Interested parties' expectations and needs
- ▶ Health, Safety and Environment conditions

38.3 Scope

This procedure shall cover all review inputs and outputs included in this procedure and as required by the Quality Management System.

38.4 Responsibilities

- ▶ The Managing Director (MD) has overall responsibility of this procedure, approves the plan and chairs the Management Review Meeting.
- ▶ The Management Representative (MR) is responsible;
  - o To formulate plan, prepare agenda and make necessary arrangements of the Management Review Meeting as approved by the MD.
  - o To communicate the Management Review schedule, agenda and other information to the concerned heads/personnel.
  - o To maintain records of the minutes of meeting and communicate to it to the attendees.
- ▶ The HOD/ Section Heads or other concerned personnel are responsible;
  - o To attend/participate in the Management Review Meeting.
  - o To prepare records/reports required for the Management Review Meeting.

38.5 Terms and Definitions

Management Review – formal Top Management evaluation and to ensure adequacy of the organization's IMS in relation to quality policy and new objectives resulting from changing circumstances.

38.6 Procedure

▶ The meeting shall be conducted once a year, after the internal audit. This is to review the effectiveness of the quality management system.

▶ Unscheduled meetings may be called at any time on the direction of the Management Representative. Sometimes, the Management Representative may circulate an internal memorandum to all prospective attendees informing them about any change in the schedule (held earlier or postponed) upon the guidance of the Managing Director.

▶ Should ensure that following are properly arranged and completed:
  o availability the top management,
  o date, time and venue of the management review
  o resources needed (technical and non-technical)
    ▪ Technical = communication (conference call availability), projectors, etc.
    ▪ Non-Technical = speaker, facilitator, presentation materials

▶ The management review is facilitated by the Management Representative and attended by the following members:
  o Managing Director
  o HOD / Section Heads

▶ Those who are unable to attend the meeting may send representatives on their behalf. Managers who are not able to attend will receive the minutes of the meeting.

▶ The agenda of the management review meeting is prepared by the Management Representative a week before the meeting and is distributed to the members mentioned above.

▶ The inputs to the management review meeting include:
  o Status of actions from previous management reviews;
  o Changes in external and internal issues that are relevant to the QMS;
  o Customer satisfaction and feedback from relevant interested parties;
  o Process performance and conformity of services;
  o Nonconformities and corrective actions
  o Monitoring and measurement results;
  o Audit results;
  o The performance of external providers;
  o Adequacy of resources;
  o Effectiveness of actions taken to address risks and opportunities;
  o Opportunities for continual improvement;
  o Other issues

▶ Comments, recommendations and/or directives are expected from Top Management and/or the Management Representative, especially on issues of major concern.

▶ Within 1 week after management review, the Management Representative shall issue meeting minutes to the participants. The minutes include decisions related to:

- o Conclusions on the continuing suitability, adequacy and effectiveness of the quality management system;
- o Any changes to policies and objectives;
- o Actions, if needed, when objectives have not been achieved;
- o Any need for changes to the quality management system, including resources;
- o Opportunities for improvement;
- o Any implications for the strategic direction of the organization.

▸ MR shall initiate follow-up activity until closure on all top management recommendations.

▸ Records of management reviews shall be maintained for a minimum of 5 years.

38.7 References

▸ ISO 9001:2015 Clause 9.3 – Management Review

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39. TRAINING MATERIAL MANAGEMENT PROCEDURE

39.1 Brief description

This process describes how ASTI management of training materials.

39.2 Purpose

The purpose of this procedure is to ensure that the training materials that will be using by ASTI is manage in order to deliver the course effectively.

39.3 Scope

This applies to all trainings offered by ASTI.

39.4 Responsibilities

- The Managing Director has overall responsibility for providing necessary resources to implement this process.

- The Academic Director is responsible to maintain and manage this procedure and ensure that the training materials needed is appropriate and in line with the training / course.

39.5 Procedure

➢ **Identification of Training Materials Required**

- Once training is confirmed, the Training Coordinator shall identify the training materials required.

- The Training Coordinator shall identify if the training materials need to be developed in house or need to be purchased from vendor's / training partners.

- If training materials shall be purchased from external parties, the Purchase Coordinator shall facilitate their acquisition.

- If the training materials shall be developed in house, training materials will be printed as advised by the Training Manager.

➢ **Preparation/ Creation of Course/ Training Materials**

The Training Coordinator shall start the preparation/creation of the materials in close coordination with the Training Manager and Trainer by considering below:

- Standard/requirement/syllabus of the contents of the materials from the Training Provider/Accreditation.

- The requirement of the trainer for the content of the materials.

- ASTI's standard formatting and design, or if so required by the Training Provider/Accreditation.

- Covering all topics outlined by the course.

- Presentation of the material should be systematic and easily understood by delegates.

- Accurate, complete and concise.

- Target schedule of the course/training.

- Latest trends and updates of topics/information related to the course/training.

The Training Manager shall ensure that the course/training materials are prepared/created with utmost quality in terms of contents, presentation and

organization, design and formatting, etc.

39.6   Preparation / Creation of Course / Training Materials

- The Training Coordinator shall submit all the; prepared, created draft course, training materials to the Training Manager, Management Representative and Trainer for review and recommendations for improvement. If needed, the Training Manager, Management Representative and Trainer shall make necessary recommendations for the improvement of the materials.

- Once the review has been done the; Training Manager, Management Representative and Trainer shall submit the course and training materials to the Academic Director for final review and/or approval.

- The Academic Director shall approve all course and training materials before reproduction, distribution and usage.

- If the Academic Director has suggestions for improvement of the materials, the Training Manager, Management Representative and Trainer shall make necessary revision.

- If the Academic Director approves the materials, the Training Coordinator shall facilitate their reproduction and shall store them in a secured area.

- The Training Manager or his designate shall keep records of all available training materials and shall be controlled accordingly in coordination with the Management Representative as per Procedure for Control of Documented Information (Documents & Records)

39.7   Storage of the Training / Course Materials

- All course/training materials shall be properly stored in designated areas to maintain the confidentiality, integrity and legibility.

- Hard copy materials shall be stored in a secured cabinet; locked if possible.

- Electronic materials including PPT, word or PDF copies, audio and visual materials shall be stored in the Folder. Procedure for Control of Documented Information (Documents & Records) shall apply.

39.8   Distribution and Usage of Training Materials

- The Training Coordinator has the primary responsibility of distribution the training materials to the students and trainers.

- The Training Coordinator shall ensure that, before the start of any course or training that appropriate materials are distributed and to be used by delegates and trainer.

- The Training Coordinator shall seek approval from the MR before distributing electronic copies of training materials.

- For hard copy distribution of training materials, the Training Coordinator shall seek permission of the Management Representative before distribution.

- Any excess course or training materials shall be collected and stored in designated location.

- The Training Coordinator shall keep all records of the training material distribution.

39.9 Measurement of the Effectiveness of the Training Materials

- The student's satisfaction of the course and training materials used shall be measured by the Training Coordinator during the end of the course delivery using the Training Evaluation Form.

- The satisfaction of the students shall also be measured by gathering feed backs during the earlier sessions of the course and training which shall be facilitated by Training Coordinator.

- The course and training materials' effectiveness shall be determined by the students' ability to understand the materials and/or the percentage of the passing rate of the examinations (for courses and trainings with examinations).

- The Training Coordinator together with other designated personnel shall analyze the results of the training material evaluation. The reports of measurement and analysis shall be presented during management review meeting or any other meeting deemed necessary to discuss the results to achieve continual improvement.

- The Top Management, Academic Director, Training Manager, Management Representative, Trainer and Training Coordinator shall ensure that necessary corrective actions shall be implemented (if required) for improvements of the training materials.

- The Training Coordinator shall maintain and keep records of the training materials measurement and analysis.

39.10 Purchase/ Acquisition of Course Materials from Vendors or Training Providers/ Training Partners

Some course and training materials shall be purchased or acquired from vendors, training providers or training partners.

The Purchase Coordinator is primarily responsible in purchasing or acquiring the materials and coordinate with the vendor/training provider/training partner through email or by phone the following:

- The types of material required.

- The quantity of each material required.

- Method of delivery (e.g. by courier, by hand, or electronically)

- Date required for delivery

- Arrangement for payments/accounts

- Other conditions required.

The Purchase Coordinator shall maintain records either by electronic or hard copy of all materials purchased or acquired.

39.11 Documented Information

- Training materials

39.12 References

- ISO 9001:2015 Clause

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40. ACCESS AND EQUITY POLICY AND PROCEDURE

40.1 Purpose

ASTI is committed to providing all students with equal benefits and opportunities to pursue their training and development. This policy and procedure is to be used by ASTI to integrate access and equity principles and to treat equally and fairly all

vocational students. The aim of the policy is to remove barriers and to open up developmental opportunities for all students by creating a workplace and training environment that is free from discrimination, harassment, bigotry, prejudice, racism and offensive behavior.

40.2 Scope

This policy and procedure applies to all ASTI students, staff and training activities.

40.3 Policy Statements

40.3.1 Access and Equity

- All students will receive fair and equitable treatment in all aspects of training without regard to political affiliation, race, color, religion, national origin, sex, marital status or physical disability.

- A person with a disability may be excluded under this policy if the disability could cause occupational health and safety risks to the person and/or other students.

- All trainers / assessors are responsible to observe and be advocates for the policy.

- This policy will be widely disseminated in the organization.

- ASTI policies and procedures will be monitored and reviewed to ensure that they recognize and incorporate the rights of individuals.

- Any breach of access and equity policy and procedure must be reported to the Academic Manager or follow the complaints and appeals procedure.

40.3.2. Fair treatment and equal benefits and opportunities

- ASTI has open, fair and transparent procedures that, in our reasonable view, are based on merit for making fair decisions.

- People from culturally and linguistically diverse backgrounds and people with diverse academic work and life experiences are encouraged to apply.

- ASTI ensures that all relevant information for students to make informed decisions is available on the website, in the student handbook and the course brochures.

- ASTI has the following policies and procedures in place in order to treat all current and prospective students in a fair and equitable manner with all academic and non-academic matters and provide equal benefits and opportunities.

40.3.3. Procedure

Any breach of access and equity policy must be reported in accordance with the Complaints and Appeals Policy and Procedure.

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1	Academic Director	Sept. 2021	Operational Manager	Sept. 2024

41. CODE OF CONDUCT POLICY

41.1 The Purpose of this Document

- To create the understanding with all individuals that there is an expectation regarding the Code of Conduct for ASTI clients/learners and employees

- ASTI management knows that this is one of the most important documents within the company and is the quality foundation on which ASTI bench-marks all their business practices. For that reason, it is considered vital for each of our employees, sub-contractors, clients, learners, and others to read and understand our working ethics.

- Our policy applies to all regardless of status, from employee right up-to the business shareholders of ASTI.

- The Institute strives to maintain their environment of honesty, integrity, and respect for all; we constantly review the personal behaviour and standards of operational conduct, to keep in compliance with a professional code of ethics. We also expect any of our suppliers, vendors, contractors, joint-venture partners to behave in accordance with this policy and our expectations whist working together with ASTI. All individuals will receive and have access to a copy of this official policy.

41.2 PRINCIPLES - EXPECTION and general guidance rules:

Individual Accountability:

- It is important to maintain and protect the self-confidence and esteem of others.

- It is expected you maintain a constructive relationship with staff, fellow learners and employees.

- It is expected for you to maintain a professional attitude, and commitment toward positive learning.

- You are responsible to ensure that your behavior does not intentionally or unintentionally constitute actions of harassment, bullying or intimidation, by avoiding the use of inappropriate language, behavior when in communication with any individual.

- Learners should comply with the terms of their course should satisfactorily perform; the instructions given for carrying out the function of their course are expected to be continuously met.

41.3 Equality of Opportunity:

- All employees and learners, regardless of their gender, race, ethnic background, culture, disability, age, religion, or any other factor will be supported and encouraged by expertise guidance to meet their full learning potential.

41.4 Conflict of Interest:

- Employees, who are working alongside a relative/close personal relationship, bearing any internal or internal effects, should not hold a decision-making or supervisory role with any relative. When assessing or authorising works within a combined capacity or linked-projects, the person is duty-bound professionally to disclose this information to the management and committee members of any close relationships effecting learning and business of the institute. Especially when any roles include decision-making that significantly impacts on others, or questionable for ethics of conduct within a working remit. All such cases, it is important that all decisions are taken in a fair and balanced way, which would withstand any objection from others, or the external/governing body investigations.

41.5 ZERO TOLERANCE / UNACCEPTABLE BEHAVIOUR

➢ Harassment and Bullying:

- ASTI rejects any form of harassment, bullying, or any conduct that has the purpose or effect of interfering with an individual's study experience, or creating an intimidating, hostile or offensive environment to another, or with the intention to dispute smooth running.

- All absences from course, expect for valid reason, should be authorised.

- Pictures, posters, graffiti, electronic images that are offensive, obscene or objectionable, are not permitted.

- Learners and employees will dress professional, in a manner suitable for the workplace.

- The Academic Director is responsible for ensuring that this policy is implemented, the committee will be kept updated during the monthly review meetings.

➢ Health and Safety:

- No threatening, aggressive or violent behavior or language that causes offence is permitted, and will lead to the complaint process/or dismissal.

- Violence either physical or threatening against ASTI employees, or any other person in attendance at ASTI.

- ASTI will not accept any behavior or actions that would in any way jeopardize the Health & Safety or wellbeing of others.

- All safety rules MUST be adhered to at all times, and in compliance with world legislation, and any UAE government regulations.

- There should be proper and authorised use of the institute equipment, time and property.

- The consumption of alcohol or the taking of illegal drugs on institute premises, or the attendance on the premises whilst under the influence of either, is not permitted

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42. CONFIDENTIALITY POLICY

42.1 THE PURPOSE

- Unauthorised broadcasting of information can be both harmful to individuals, as well as to the company and their business. This policy is intended to define the expected behavior for dealing with confidential information as well as to clearly state the consequences for not meeting the outlined expectations of ASTIs Management. And the policy is applicable to all employees and sub-contractor working within, or for ASTI.

42.2 THE POLICY

42.2.1 Employment Information:

- The details of an employee's terms of employment and compensation should be treated as strictly confidential and matters or contents not disclosed to other employees, colleagues/friends, or others.

42.2.2 Trainee or Consumers Information:

- Employees may, by virtue of their employment with ASTI, obtain or gain access to sensitive, confidential, and restricted proprietary information about ASTI and the Private Office, including but not limited to financial records, trainee and consumer records, files, or mailing lists, credit card numbers, and any other such documentation.

- Any information, confidential or none confidential, will be used solely by the employees, in the performance of their duties for ASTI and shall not, without the prior written consent of ASTI, disclosed, divulged, or publish to others.

- Any such confidential information acquired in the course of their employment should remain confidential during and after employee terminates from ASTI. Confidential information will remain the totally exclusive property of ASTI, and under no circumstances whatsoever, shall any employees or sub-contractor violate the confidentially – in doing so, they are opening themselves up to possible prosecution.

42.3 The Procedure

- Unauthorised use or disclosure of confidential information may result in discipline action, up-to and including immediate termination for gross miss-conduct, prosecution, or other such action.

- On termination of employment, employees and sub-contractor must return any data, and all file information, including copies of documents prepared or produced during their employment at ASTI.

- This policy and procedure will form part of the new employee induction process.

- All employees and sub-contracts are obligated to sign an NDA – Non-Disclosure Agreement with ASTI.

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43. DISCIPLINARY PROCEDURE

43.1 PROCEDURE PURPOSE

- The Disciplinary Procedure aims to ensure that the disciplinary action is done in a consistent and fair manner. The Disciplinary Procedure is used for **academic** and **nonacademic** disciplinary cases.

43.2 PROCEDURE STATEMENTS

Informal Disciplinary Process

- ASTI will, wherever possible, make an endeavor to solve disciplinary issues informally. Yet, for serious or major misconduct the issue will be dealt with formally.

- Where a Learner's academic behavior or conduct is considered to be inappropriate this should be raised with the Learner's Academic Director. The Academic Director discusses the matter informally with the Learner. The Learner will be given one opportunity to improve his/her behavior.

- A record will be kept in the Learner's file

- No disciplinary actions will be taken against the Learner at this stage.

43.3 Formal Disciplinary Process

- Where the Learner's behavior and/or conduct does not improve; or in the case of serious or major misconduct a more formal disciplinary process will be initiated. The Learner may be subject to summary dismissal or suspension pending a formal hearing and this decision will be taken by the Academic Director

- The Learner's behavior and/or misconduct must be referred to a committee assigned by the Academic Director. The committee will;
    - o Investigate the case
    - o Consider all pertinent evidence against the Learner such as witness testimony and documentation.
    - o Submit a report to the Academic Director to take the final decision.

- The Learner has the right to:
    - o To defend him/her, present evidence and answer the questions of the Committee.
    - o Ask for the support of a fellow Learner, guardian or other competent person to support his/her case

- The Learner will be notified of the outcome of the Disciplinary Hearing within ten days of the hearing and will be advised of their right to appeal.

- A record of any disciplinary action will be maintained by the institute in the Learner's file.

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44.   DRESS CODE POLICY AND PROCEDURE

44.1 THE PURPOSE
- ASTI believes that their professional image and the reputation of the organisation forms part of its operation standard. The purpose of this policy is to outline what is expected from employees, sub-contractors and even in some cases its consumers.

- When living in the Middle East there is a standard requires be fully clothing and respectfully dressing in public areas, to maintain reputable and avoid giving any offense to others. *The policy is applicable to all employees during business hours, internally within the Institute, externally when visiting prospective clients, and during training assessment meetings.*

44.2 THE POLICY
- ASTI requires all employees and sub-contractor to arrive to work in attire that is "professional" and suitable for the business setting of working with the public. This may vary slightly from one duty area to another, depending on the exposure to the general public, consumers, and the training environment.

- Personal appearance and hygiene play an important role in creating the professional image required when supporting the learners and consumers.

- It is important that our appearance should always reflect what is appropriate for our job, work setting, and personal safety.

- Casual dressing for example in jeans, shorts, slogan t-shirts are not allowed because in our business we have meetings and walk-in consumers and learners every day.

- All clothing must be duly modest in respect of the culture.

- Individual divisions may establish a uniform policy for example; cleaning and service employees.

44.3 THE PROCEDURE

- There is no strict formal dress code but the following is a guidance:

  - o *Gentleman* : Business suit with tie or local dress for UAE Nationals
  - o *Ladies* : Business suit/jackets, professional dressing, or Abaya for UAE Nationals

- Employees must exert a certain professional judgment in their choice of clothing to wear to work. If unsure they should seek personal advice from their line managers or friends/colleagues.

- If clothing fails to meet acceptability of the culture, as determined by the Manager, the employee will be gently reminded not to wear the inappropriate item to work again. If this a problem or the person persists, the employee will be asked change the attire. There is a possibility that they will receive a verbal warning.

- Progressive disciplinary action will be taken for further dress code violations.

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45. GIFT AND BRIBERY POLICY AND PROCEDURES

45.1 THE PURPOSE

- ASTI have a policy of conduct for all employee and sub-contractors to follow, and operate its business in an honest and ethical manner. ASTI takes zero-tolerance approach to bribery and corruption at any level within the organization and ASTI are committed to acting professionally, fairly, and with integrity, in all its activities wherever it is in operation.

- ASTI are committed to implementing and enforcing effective laws in support of the UAE guidance for the none-acceptance, for paying of bribes.

45.2 Under the policy – BRIBERY means:

- The acceptance or soliciting a gift for a favor or services, that is intended to or might appear, to influence the employee's decision-making or professional conduct.

- The acceptance or agreeing to accept, or soliciting of money or benefits, in exchange for the employee's favorable decisions or actions in the performance of their job.

- The facilitation payments or "kickbacks" of any kind. Facilitation payments - meaning small and unofficial payments made to secure, or acceleration of a routine or action, by any individual within power. Kickbacks - meaning payments made in return for a business favours or advantages.

This policy applies to all employees at all levels and grades, including senior managers, directors, employees (whether permanent, fixed-term or temporary), consultants, contractors, and any other person providing services to ASTI.

45.3 THE POLICY

General Guidelines

- ASTI will investigate all suspected or reported cases of bribery. If an official investigation confirms that an employee has been paid, received, or asked for a bribe, they will be referred to the Academic Director or Police, as well as being subjected to disciplinary actions for gross misconduct.

- This policy does not forbid giving and receiving promotional gifts of low value and normal and appropriate hospitality.

- But is strictly forbidden to accept or solicit any material gifts, except for those merchandise samples of a symbolic or promotional nature that bear the logo and name of the presenting party for a bona fide business purpose. The value of such merchandises should exceed a value of AED 500/-.

Raising Concerns

- Employees will be encouraged to raise concerns about any issue or suspicion of malpractice at the earliest possible stage. No employee will suffer any detriment as a result of raising genuine concerns about bribery, even if they turn out to be mistaken.

45.4 THE PROCEDURE

- The effectiveness of this policy will be regularly reviewed by the Management. Internal control systems and procedures will be subject to audit under the internal audit process.

- Where the investigation and audit by valid evidences concluded the confirmation of any employee breaching this policy, the Company will pursue dismissal as part of the disciplinary action or other legal action if it finds evidence of bribery or abuse may have occurred.

- A copy of this policy will form part of new employees' induction process.

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46. HARASSMENT AND HOSTILITY POLICY AND PROCEDURE

46.1 THE PURPOSE

- ASTI will not ignore any harassment, hostility or bullying of any sort, to any employee, learners, consumers, or person that is employed or related through business association of any type; trainees, consumers or suppliers.

46.2 THE POLICY

- The policy is to advise all our employee, Manager or sub-contractor that nobody has the authority to suggest to any person, or applicant/or existing business associate, that their employment or agreements, or future dealings will be affected in any way by the individual's refusal to partake in group harassment, hostility or bullying - such conduct is in direct violation of our policy for equal opportunity and negative to our strong belief to create a stress free environment.

- Harassment of or discrimination against employees in connection with his/her work by non-employees also may be a violation of this policy.

- The policy is designed to protect any person who has experienced discrimination or observes harassment, hostility, bullying or discrimination against another, must report such activities to the line-manager immediately. Failure to do so, will be consider an act of support or acceptability of the conduct, therefore would be deemed accountable during any disciplinary action.

46.3 THE PROCEDURE

- ASTI employee that believes prohibited harassment has occurred, or if any person has any questions concerning this policy, should speak to the line manager or the Human

Resources immediately, or within seven working days of the alleged harassment. The Human Resource officer in charge will investigate and provide support, and written reporting to the senior management team – until resolve has been achieved.

- ASTI encourage all reporting to be activated before potential harassment before it becomes an issue of severe or general acceptable as the ''norm''.

- Claims will be investigated impartially, and any appropriate corrective action will be taken immediately (or maximum within 10 working days). Including any discipline for inappropriate conduct in-and-around the workplace.

- All complaints will be handled confidentially, and guidance support will be offered to the victim during the ordeal, or as necessary for anybody, who is involved within the investigation to resolution period.

- ASTI's policy and procedures prohibits retaliation, harassment or other adverse action because of; making a complaint, assisting in an investigation.

- Opposing harassment or otherwise - exercising rights protected by law.

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47. HUMAN RESOURCES PROCEDURE

BASED ON QUALITY MANAGEMENT SYSTEM (ISO 9001:2015)

47.1 BRIEF DESCRIPTION

This process describes the approach of ASTI in terms of ensuring the competency of its employees on the basis of their education, skills and experience.

47.2 PURPOSE

The purpose of this procedure is to establish a method for:

- Recruiting potential employees on a fair and equitable manner.
- Ensuring that employment opportunity is based on fair, objective and consistent criteria.
- Increasing overall professionalism in the recruitment and selection process.
- Work performance, employees' standard behavior and disciplinary measures.

47.3 SCOPE

This procedure is applicable to Human Resource Department/Section, recruited candidates, and all employees under ASTI.

47.4 RESPONSIBILITIES

The Managing Director has overall responsibility of this procedure and is responsible for:

- To ensure that resources are available to implement this procedure.
- To approve all manpower request and recommendations.
- To decide on the final approval of the candidates to be recruited.
- To approve HR policies and guidelines.

The Management Representative is responsible to ensure that this procedure is implemented as per requirement of Quality Management System.

The Human Resource Department / Section is responsible for;

- To review manpower requirements, recommend and seek approval from Managing Director.
- To facilitate recruitment/hiring process.
- To maintain records of recruitment.
- To manage the overall human resource and employee regulations and processes.

The Head of Department is responsible for;

- To identify the need for manpower in their respective department / section and raised request to the Human Resources Department/Section.
- To implement (in support of the Human Resource Department / Section) human resource and employee management processes within his / her department or section as per this procedure, Human Resources policies and guidelines.

All employees are responsible to comply with approved Human Resource guidelines and policies.

47.5   PROCEDURE

47.5.1 Recruitment Process

- The Head of Department or Section Head shall notify the Human Resource Officer regarding vacancies to be filled by submitting Manpower Request Form.

- The Human Resource Officer reviews the Manpower Request Form to ensure that:
    - Such position exists in the organization structure
    - Position is vacant based on review results

- The Human Resource Officer forwards the manpower request to the Managing Director for approval.

- The Human Resource Officer based on the competency determines the means to recruit the candidates.

- Process of sourcing of new candidate for a particular position identified is basically done by:
    - In-House Sourcing
    - External Hiring

47.5.2   *In-house sourcing*

The Human Resource Officer reviews ASTI's employees' profiles and discuss it with the Head of Department or Section Head to identify the probable suitable employee for the position to be recruited.

The Human Resource Officer in coordination with the Head of Department or Section Head carries out detailed job analysis against competency of employees to be interviewed.

The Human Resource Officer and the Head of Department or Section Head formally interview the candidate and give details about the:

- Job requirements
- Career enhancement/prospects, and
- Monetary rewards etc.

The Human Resource Officer in coordination with the Head of Department or Section Head evaluates the employee's competency and based on evaluation, recommends to the Managing Director for final interview and/or approval if selected.

47.5.3   External Hiring

A Job announcement is made in the local newspaper or websites by stating the scope of the position and key qualification requirements.

The following elements should be included:

- The summary of job duties

- Any bona fide occupational requirements

- Any occupational certification required by trade (e.g. driving license etc.)

- Preferred qualifications

- A requirement or preference for related experience (but may not be specific years of experience)

- Any educational preferences not required by law, stated   with a provision for substitution of equivalent applicable experience or training

- Notice to applicants that they may be required to demonstrate the skills and abilities necessary for satisfactory performance of the work

- Information about conditions of employment such as:
    - Working hours
    - Working environment
    - Requirement for background check and the extent of the background check
    - Requirement for medical check-up, etc.

- A statement clarifying what application options if any are acceptable, such as resumes, faxes, emails, etc.

- Any other information regarding the application process that would be helpful to applicants, like visa processing formalities, etc.

- The Human Resource Officer keeps track of all applications.

- All potential applicants shall be facilitated to fill-up the Employment Application Form along with other credentials.

47.6 Screening process

- All applicants to submit an application by the deadlines indicated for posted positions will be considered for screening.

- The Human Resource Officer will screen applicants that meet the above criteria.

- The process will include an initial screening for completeness of application and the minimum qualifications for the position, based on job descriptions.

- Applicants not meeting minimum qualifications for a position will not be considered for further process.

- A second screening will be performed if required on qualified candidates by a concerned Head of Department or Section Head to review candidates for relevance of degrees and experiences and to establish the most qualified amongst the candidates.

- If supplemental information is required of the applicant, the second screening will take this information into consideration to establish the most qualified.

- Recommendations for interview will be made at this point.

- Those applicants chosen for interview will be forwarded to the Human Resource Officer to arrange for the interview process.

- Applications of those who are not selected for interview are returned to the Human Resource Officer to be held until the hiring process is completed.

47.7 Interview process

- The Human Resource Officer will prepare interview packets, schedule and set up interview venue.

- Interview packets to consist of:
  - Job descriptions
  - Questions and any other supplementary materials needed

- The candidate will be interviewed by the Human Resource Officer, Head of Department or Section Head, and the Managing Director if so requires.

- Discussion on results of interview and prioritizing hiring recommendations are done by the Human Resource Department.

47.8 Employee Selection

- Hiring recommendations of the Human Resource Officer are reviewed and approved by the Managing Director.

- Salary and benefit determinations will be based upon current wage scales and benefit policies.

- The Human Resource Officer contacts the prospective employee to offer the position. If the position is accepted by the prospective employee, arrangements are made for an appointment.

- The prospective employee is reminded of the position requirements such as certifications, transcripts, health appraisals, etc. where needed.

- The prospective employee will complete all required hiring documentation and will be given information to proceed with visa processing.

- The new employee shall undergo Induction Training which will be conducted by the Human Resource Department in coordination with the Manager Representative and/or concerned Head of Department or Section Head. Additional training may be arranged at this time, if required.

- The Head of Department or Section Head of the new employee will be notified of the readiness of the newly hired and be expected to arrange for further program orientation and training.

- The Induction Training Form will be prepared by the Human Resource Department for the newly hired employee.

- The Finance Department / Section will be informed of the employee hiring by the Human Resource Department.

47.9 Process of Leaves, Holidays and Disciplines/Behaviour Policies

47.9.2   *Leaves and Holidays*

- ASTI has allotted the total number of leaves in a calendar year under as per UAE Federal Law No. 8: 1980.

- The Human Resource Officer shall maintain the list of employee with their leave plan.

- Employee has to complete Employee Leave Application Form with the approval of the Head of Department or Section Head and submit to the Human Resource Department if they want to apply for vacation.

- The Human Resource Officer shall review the leave plan and process the document for final approval.

- The Human Resource Officer shall communicate to employee regarding his leave approval.

47.9.3   Standards of Conduct

- Employees should report to work as scheduled. If employees cannot report on time, then they need to inform their Head of Department, Section Head or Supervisor and act upon his/his advice. Frequent delays of reporting to work will call for counselling or issuing memo.

- An employee should submit thru his/her Head of Department, Section Head or Supervisor a Request for Overtime Form if he has to work more than the office timing hours whenever required.

- Employees should arrange planned absences including reporting to work late or leaving work early with valid reasons and subject to approvals, in advance with Head of Department, Section Head, Supervisor or the Human Resource Officer as promptly as possible.

47.9.4   Satisfactory Work Performance

- Employees are expected to meet established job performance standards.

- As needed, the Head of Department or Section Head should assist employees in understanding the expectations of these Standards of Conduct.

- Employees should report to their Head of Department, Section Head, Supervisor or Human Resource Officer any conditions or circumstances that prevent satisfactory work performance; and employees should advise their Head of Department, Section Head, Supervisor or Human Resource Officer of unclear instructions or procedures that may affect satisfactory work performance.

47.10 REFERENCES

- ISO 9001:2015 Clause 7.1.2 – People

- ISO 9001:2015 Clause 7.2 – Competence

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48.   Pastoral Care Policy
This pastoral care policy was created in accordance with the Mission Statement of ASTI

48.1 POLICY DEFINITION

- ASTI is dedicated to the pursuit of excellence in a caring environment of mutual respect so as to foster the full potential of its students and staff.

- In partnership with Parents ASTI strive to create a desire for life-long learning, respect for the individual, an awareness of the needs of the disadvantaged, concern for the environment and an appreciation of its own unique culture. It reflects ASTI's educational philosophy and the 'mutual respect' aspect of the mission statement.

  This policy should be read in conjunction with all other policies with Guidance, Anti – Bullying, Code of Behaviour, Critical Incident, Admissions Policy, Internet Usage and, earning Support policies

48.2 RATIONALE

Pastoral Care is a core dimension of life of the institution. It is defined as the system of roles, resources, structures, policies, programmes and processes employed to support the development of young adults. Pastoral Care is an integral part of our approach to a holistic education, which puts the educational, emotional and social development of the student at the centre of its learning values. This policy sets a formal structure for pastoral care, setting out clear and defined roles and expectations to ensure that every member of our institution has access to relevant pastoral structures and procedures.

48.2.1 PASTORAL GOALS

- To provide a safe, caring and supportive environment for students.
- To care for and support each member of the institution.
- To give Priority to the nurturing of teaching and learning relationships

48.2.2 AIMS OF A PASTORAL CARE STRUCTURE

- To clarify roles, responsibilities, tasks and procedures.
- To create links between all areas of the Pastoral Care Programme.
- To promote an environment that meets the needs of each student.
- To acknowledge and support each person's role in the institution.
- To nurture teaching and learning relationships.
- To recognise talents and abilities.
- To monitor progress at every level for the student.
- To act as an early warning system for the early detection of "at risk" students.
- To help the young person to make their own decisions through greater self-awareness and independence.
- To promote clear values that animates our school.
- To support an engaging curriculum, through related policies.
- To involve all partners in the life of the institution.

48.2.3 PASTORAL CARE PERSONNEL

We take a collaborative approach to Pastoral Care at ASTI and therefore, each staff member has a role to play in its implementation. However, there are a number of personnel who have a specific role to play. These include:

- Executive Council
- The Academic Director
- Unit Heads
- Trainers
- Critical Incident Team
- Guidance Counselor
- Students Counselors

- Learning Support Coordinator
- Special Needs Assistants

48.2.4 ROLES AND RESPONSIBILITIES

Executive Council

The Executive Council supports the principles of inclusivity and equality of access. The Council will have overall responsibility for the development and monitoring of policy. The Council will ensure in so far as it's practicable that adequate resources are allocated for the provision of Pastoral Care.

The Academic Director

The Academic Director will work with the Management, Staff and students in the development of the policy and ensuring that the proper structures and resources are put in place for its effective operation. The Academic Director will oversee the implementation of the policy, provide from available resources the necessary structures to implement the policy, contact and liaise with parents and with outside agencies as necessary and will remain available to meet students, staff and parents in a supportive environment.

The Unit Heads

The Unit Heads will have the responsibility for the pastoral, educational and disciplinary care of the unit. They will meet on a regular basis and keep them apprised on institutional policies. The Unit Head will have a caring interest in each student and will intervene to help students who are encountering difficulty with particular areas of institutional policy and provide necessary supports for the students. This may involve liaising with parents/guardians and other members of the Care Team.

Trainers

The trainer, through meeting students on a regular basis, will identify any challenging areas for the students in their group and liaise with unit heads, management and other members of the care team, as necessary. The trainer will support the work of the Unit Heads and teachers in supervising, overseeing and monitoring student journal and attendance and will encourage group activities.

Critical Incident Team

ASTI has developed a Critical Incident Management Plan to cope more effectively in the aftermath of an incident. This enables the institution to reach quickly and effectively and to maintain a sense of control. It is proactive in creating a coping, supportive and caring ethos in the institution.

Guidance Counsellor

The Guidance Counsellor provides for the needs of the students with 3 integrated areas such as personal/social guidance and counselling, educational and career guidance. The Guidance Counsellor is available to meet students in class groups and for individual consultation with students and/or parents on matters related to career advice and possible personal difficulties. The counselor liaises with the other staff members and members of the Pastoral Care team as necessary, in providing this support and guidance.

Students Counselor

It is the role of the Students Counselor to ensure that all students receive curriculum in a supportive, non-judgmental and atmosphere. The Counselor will organise workshops, guest speakers, activities and any events which will support the implementation of this programme. The main role of the student counselor is:

- To meet with the student council regularly and report to the Academic Director;
- To promote the interests of the student council;
- To assist and advise the student council;
- To be the link between students and teachers and management.
- To encourage a link with management to highlight student's needs.

Learning Support Coordinator

The Learning Support Coordinator will be responsible and accountable for developing and coordinating a system of learning supports that enables all students to have an equal opportunity for success and to manage their respective curricula. This may be done by addressing barriers to learning, enhancing engagement, student advocacy, and reengaging disconnected students. The Coordinator will liaise with other staff in support of the development of the student. The role includes liaising and communicating with management, trainers, support staff, parents and outside agencies.

Special Needs Assistants (SNA)

Special Needs Assistants assist in the care of learners with disabilities or Special Educational Needs in an educational context. The SNA liaises with all members of the Pastoral Care team in supporting the development of the students in their care.

48.3   THE PASTORAL CARE TEAM

The Pastoral Care Team is a visible representation of the institution's understanding and valuing of each student as an individual. Students who experience severe difficulties in life will find it difficult to have cognitive space for learning. Therefore the rationale of the care team is to strive to care in a genuine way to improve the lives of students and thereby ensure access to the curriculum and learning. Members of the care team work hard to identify and assist students who may be in need of extra support.

The core Care Team is made up of staff that has direct involvement in the care issues of students:

- The Academic Director
- Guidance Counsellor
- Learning Support Coordinator
- Unit Heads

48.4   PASTORAL CARE SELF EVALUATION

Review and Evaluation:

This policy will be evaluated at the end of every academic year and will be reviewed if necessary.

Performance Criteria

- The Pastoral Care Programmes are being implemented effectively.
- The Pastoral Care procedures are effective.
- The Aims of the policy are being met.

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49.   PRIVACY POLICY

49.1   PURPOSE

The policy ensures that ASTI Academy maintains and respects employees' and students' privacy when we collect and manage their information for legitimate business interests thus complying with relevant laws.

49.2   SCOPE

The policy applies to all institutional staff and students. ASTI Academy expects its employees and other parties acting on its behalf (collectively, "third parties") to follow this

policy.

Failure to comply with this policy by the employees can result in disciplinary action which may include termination. All disciplinary action will be applied in a manner consistent with local law.

49.3 **POLICY STATEMENTS**

a. **Transparency:** Whenever reasonably possible, ASTI Academy will inform you about you and how your information will be used. Note that the type of notification may vary depending on the information type.

b. **Choice:** Whenever reasonably possible, ASTI Academy will give you choices. For example, you may voluntarily choose to participate in marketing advertisements, voluntary work, and/or department birthday lists. In all cases, when required by law, we will offer you choices regarding participation in certain activities.

c. **Handling of Sensitive information:** ASTI Academy may collect your Sensitive information in limited circumstances, such as employment requirements. The collection, management, and use of such Sensitive information will be subject to more stringent security and protection measures

d. **Access:** ASTI Academy will provide you access to your information to update when required.

e. **Use, Retention and Disposal:** ASTI Academy will only collect, access, use, retain or disclose Employee and student's information for legitimate business purposes and with appropriate HR and Legal guidance and approval. ASTI Academy will dispose of your information according to applicable policies and law. Upon request by you, ASTI Academy will delete your information when you are not with the Institute anymore.

f. **Disclosure to Others:** ASTI Academy will only share your information with those who have a legitimate business need to know (e.g., to government tax and social security authorities); to defend a lawsuit or regulatory inquiry; or in case of mergers, joint ventures, acquisitions, divestitures, transfer of business or transfer of part of a business. The Company requires that third parties guarantee equivalent levels of protection as applied by the Company when handling your personal information.

g. **Security of information:** ASTI Academy will follow appropriate technical, administrative and physical procedures to protect your privacy will take steps to properly secure your information from unauthorized access.

h. **The types of personal information the Company may collect from or about you include:**
   - Recruiting records
   - Payroll, benefits and Employee services data
   - Contact information
   - Data required for regulatory agency reporting (.e.g., Equal Employment Opportunity data)
   - Attendance records
   - Disciplinary and grievance records
   - Performance records
   - Records regarding your use of digital products and services (including your use of email, the internet, social media and user generated content), including such data that we collect through use of "cookie" technology
   - Information gathered from your voluntary participation in marketing
   - Information you choose to share
   - Public records (including criminal offence records)
   - Health records you consent to sharing
   - Other records

49.4   **Protecting your Privacy**

- ASTI Academy reserves the right to use lawful means to protect itself and your data from internal and external threats related to the use of ASTI Academy systems and assets, including individuals' use of equipment, networks, operations and programs.

- The institution may routinely scan, on an aggregated and anonymous basis, electronic networks and system usage data for purposes including, but not limited to, ensuring system integrity, optimal system/network availability, security and cost-effectiveness, appropriate access, application performance, financial compliance and appropriate use by employees and third parties.

- The institution may also perform aggregated non-anonymous system scans which may send automated messages to Employees regarding their use of a system or service. These scans typically help ASTI Academy improve its services, tools, training, policies, standards and compliance, and manage costs effectively. Any such scan will be proportional to the specific legitimate business interests of ASTI Academy, follow an internal approval process, and be consistent with applicable local law.

- ASTI Academy reserves the right to perform a more detailed investigation on an individual level when inappropriate or suspicious use of ASTI Academy s systems (e.g., internet and email) by internal or external parties is detected or reported. Any such investigation will be proportional to the specific legitimate business interests of the Company, follow an internal approval process, and be consistent with applicable local law.

- ASTI Academy also reserves the right to perform real-time surveillance (e.g., cameras) to protect itself from internal or external threats or if there is suspicion of illegal behavior (including criminal behavior) or serious violation of policies. Any such real-time surveillance will be proportional to the specific legitimate business interests of ASTI Academy, follow an internal approval process, and be consistent with applicable local law.

REVISION HISTORY				
Version No.	**Developed by**	**Date**	**Approved by**	**Review Date**
1	Academic Director	Sept. 2021	Operational Manager	Sept. 2024

50. PROFESSIONAL DEVELOPMENT POLICY AND PROCEDURE

50.1 PURPOSE AND SCOPE

The purpose of this policy is a commitment of ASTI Academy to provide the employees with a supportive and rewarding environment where they can develop their knowledge and skills which will add quality and professionalism to the institutional activities. The policy applies to all staff regardless their positions in the institution.

50.2 POLICY STATEMENTS

- ASTI Academy management is committed to encourage and support employees to actively pursue their professional and career development as an integral element of their employment with the institution.

- Professional Development includes the provision of learning and development opportunities and activities to extend and broaden the scope of professional capabilities of employees in relation to their role and responsibilities.

- Professional development activities should build on the collective knowledge and experience of employees and provide employees with opportunities to acquire, practice and adopt new knowledge, thereby enhancing individual, group and organizational learning and capabilities.

50.3 PROCEDURE REQUIREMENTS

- The institution will identify organizational goals and priorities, and develop and implement a range of strategies and programs to enhance and build the capacity, skills and professionalism of employees and will provide the employees with the following:
  - o The opportunity to develop capabilities that contribute to organizational and work unit goals.
  - o The opportunity to develop a career plan and participate in career development activities that extend and enhance their capabilities and capacity for advancement within the institution.
  - o Equity of access to professional development opportunities.

- Employees are required to participate in the annual performance planning and review process and identify development activities that support their performance objectives and their professional and career development.

- Responsibility for professional development is shared between employees, supervisors and managers for the planning and undertaking of professional development relevant to their roles and responsibilities.

- Plan the development processes including and identify professional development priorities by ensuring equity of access to professional development for all employees; and monitor individual development plans.

- Evaluate employee participation, learning outcomes and the relevance and quality of professional development programs on an ongoing basis.

- Professional development programs include orientation, induction and on-the-job training; teaching and learning support and mentoring; research or project work; participating in internal or external committees; shadowing experienced people and self-directed learning.

- The undertaking of CPD activities should be discussed by the employee with their supervisor at the time of the annual performance, planning and development meeting and form part of the employee's Individual Development Plan.

- Each employee must provide, on yearly basis, evidence on at least 3 CPD achievement related to their job responsibilities.

- Support will be in the form of granting work time to attend a short course or conference.

- Employees seeking to attend a short course or conference should discuss this with their supervisor and apply through email providing the following information:
  - o Description of the course or conference.
  - o Relevance of the course or conference to job responsibilities.
  - o Expected outcomes from participating in the course or conference.

- Where a Unit Head does not support an application to attend a short course or conference they should provide a reason to the employee in writing.

- Where an employee is approved to attend a short course or conference of one day's duration, travel time and attendance hours will be included as time worked.

- Where an employee attends a short course or conference that extends beyond one day in duration, it is considered that each day's attendance is a seven-hour working day, and no additional time will be allowed for travel.

- In the case of a dispute between an employee and their supervisor and/or Unit Head in relation to the time claimed for conference attendance and travel, the Academic manager will make the final determination on hours to be claimed as work hours.

REVISION HISTORY				
Version No.	**Developed by**	**Date**	**Approved by**	**Review Date**
1	Academic Director	Sept. 2021	Operational Manager	Sept. 2024

51. Trainee Ethics Policy and Procedure

51.1 Brief description

This procedure is to describe the approach of ASTI Academy in terms of the expectation of the Learners and Employees Code of Conduct/Ethics. And to ensure a fair process regarding matters relating to the creation of a professional and education study environment beneficial to all.

No manual can provide every answer to every question. In the end, the institution dependent on good moral judgement, to do what is right and within the best commercial interest to meet the institutional high standards, and the Code of Conduct/Ethics is vital to the success of themselves and others.

51.2 LEARNERS COMPLIANCE

All learners must comply with the conduct codes, along with all the other company policies and procedures. Failure to do so will result in disciplinary action, possibly termination from the course or employment.

Equally, any supervisor, manager, or director who is aware of any violation, and does not promptly report the issue, may be subject to similar consequences. Employees and sub-contractors of ASTI Academy will review, and acknowledge their acceptance of this Procedure and policy.

51.3 LAW/AUTHORITY

In addition to knowing and understanding the code of conduct/ethics, each individual must comprehend the level of authority, included within their job and must be careful to act within framework limits of that authority.

51.4 Offensive Weapons

Any learner or employee discovered to be carrying an Offensive Weapons, or attempts to use a weapon, The institutional management will immediately advise the police of the incident/attack.

51.5 Abusive Telephone Calls

If any employee receives an abusive telephone call should warn the caller that the caller, that they will terminate the call if they do not modify their behaviour. If the caller continues to be abusive the member of staff is authorised to terminate the call. They must immediately notify their line manager and complete an incident report form. In more serious cases of threats, or bomb warning the Line Manager will immediately report the incident to the police.

51.6 Communication Channels

If the institutional employees or learners are concerned about what appears to be inappropriate behaviour, action, or communication within the institute (or a situation in their department, training room, or any other another area).

There are several ways to bring this to the attention of ASTI Academy designated person or management - who will then assist fully in resolving any questions involving ethics and conduct. The learner or employee should never be fearful, or hesitate in taking advantage of support.

ASTI Academy encourages employees and learners to highlight issues. Employees can partake in dialog with their line-manager at any stage without fear of reprisal, and they can also contact the HR the department, or request a meeting with a higher level of management/committee.

51.7   Non-Retaliation Policy

Employees concerns will receive appropriate attention. The institution will not tolerate threats or acts of retaliation, or retribution for using any communication channels the employee was forced to use, for their concerns to be heard.

Any attempts to harm or defame another through false accusations, malicious rumours or other irresponsible action, will be viewed as bullying and may result in disciplinary action.

51.8   Policy Enforcement

The policy will be enforced at all levels fairly, and without prejudice. Subject to our obligations under the law and our policies, ASTI Academy will keep confidential, the identity of employees about or against whom allegations of violations are brought.

Similarly, The institution will take all reasonable steps to keep confidential the identity of anyone reporting a possible violation.

51.9   Work Performance

ASTI Academy expects all employees to be held accountable for the results of their work, based on the factors of honesty, quality, timeliness, efficiency, safety and continuous improvement.

Managers are expected to provide leadership that reinforces these factors, and that ensures that the actions of all employees are in the Institute's best interests.

REVISION HISTORY				
Version No.	**Developed by**	**Date**	**Approved by**	**Review Date**
1	Academic Director	Sept. 2021	Operations Manager	Sept. 2024

52.   Code of Conduct Acknowledgement Form

Learners/Employee Name: **Date:**

_____   _____

- I acknowledge my understanding of ASTI Academy Code of Conduct/Ethics policies and hereby agree to comply (without force) to the terms and conditions as stated within the subject code of practice, and to any subsequent amendments, which may arise in the future.
- I will demonstrate my professionalism whether I am a learner or employee, by adhering to the learners course commitments and partake in the development to the time framework agreement. And undertake assessments and the observations required to complete the course content.
- I will attend the inductions process, and becoming familiar with ASTI Academy policies and procedures, and applying them consistently. And I recognise that any breach of the Code of Conduct/Ethics will lead to disciplinary action taken against me.
- Then from commencement of my Training Course till the end date, I will comply with the terms and conditions of ASTI Academy Code of Conduct/Ethics, and I will maintain a high standard of attendance and punctuality.
- I will comply ethically with Training, Assessments, Accreditations process, and I will participate actively in my own personal learning, and support the learning of others whilst attending classes and meetings.
- I will dress professionally and appropriately for the Training Institute, and I respect the cultures of the UAE.
- I will not behave in a manner that is unlawful, fraudulent or un ethical and keep mindful of the UAE laws.
- Not will not attempt to bribe or considered to deceiving any person in order to obtain favourable results or certification,
- I will act in good faith, and in the best interest of ASTI Academy, and avoid every conceivable conflict of interest, or potential breaches of confidence that may reflect on their good name.

I confirm that I have read and understood the policy and procedure for the code of conduct/ethics including; Individual Accountability, Equality of Opportunity, Conflict of Interest, Harassment and Bullying, Health and Safety, and fully accept my responsibility to comply by signing this declaration document of my own accord.

I was supplied with the opportunity to discuss any points of concern both internally and externally via ACTVET Customer Support Team, and as the participating learner/ or employee I have the right of appeal, or can make a query at any time.

_____ _____
(Signed by Learner/Employee: Full Name & Signature)   (Date)

_____   _____
(Witnessed by: Full Name & Signature)   (Date)

53. CPD Record

Name		Position		Academic Year
Date (DD/MM/YY)	**CPD activity Description**	**Organization presenting CPD activity**	**Contribution to Job**	**Number of CPD hours**

54. List of Curricula Changes

List of Curricula Changes				
Course Title	**Course Code**	**Instructor's name**	**Date Started**	**Date ended**

55.   Observation Form

Requirements/Competencies		Yes	No
Learner Name			
Assessor Name			
Qualification Title			
Unit title and No			
LOs/PCs			

Assessor Feedback	
Assessor Signature	Date

Student comment	
Student signature	Date

56.   Programme Matrix

Learner Name	
Learner Signature	
Learner I.D Number	
Programme Title	
Assessor	
Internal Verifier	
External Verifier	

Assessment method key
O = observation learner/student EP = examination of product, EWT = examination of witness testimony,
ER = examination of case history, projects assignmets,test, EPS = examination of personal statement,
EWA = examination of written answers to questions, QC = questioning of candidate,
QW = questioning of witness, PD = professional discussion.

Unit 1									
	O	EP	EWT	ER	EPS	EWA	QC	QW	PD
Learning outcome 1:									
1.1									
1.2									
1.3									
1.4									
Learning outcome 2:									
2.1									
2.2									
2.3									
2.4									
Learning outcome 3:									
3.1									
3.2									
3.3									
3.4									
Learning outcome 4:									
4.1									
4.2									
4.3									
4.4									

Unit 2									
	O	**EP**	**EWT**	**ER**	**EPS**	**EWA**	**QC**	**QW**	**PD**
Learning outcome 1:									
1.1									
1.2									
1.3									
Learning outcome 2:									
2.1									
2.2									
2.3									
Learning outcome 3:									
3.1									
3.2									
3.3									

Unit 3									
	O	**EP**	**EWT**	**ER**	**EPS**	**EWA**	**QC**	**QW**	**PD**
Learning outcome 1:									
1.1									
1.2									
1.3									
Learning outcome 2:									
2.1									
2.2									
2.3									
Learning outcome 3:									
3.1									
3.2									
3.3									

57. Skill Scan Form

Learner Name………………………………………….………………………………………………

Work Position……………………………………………………………………………………………

Qualification Name and level……………………………………………………………………………

Assessor Name…………………………………………………………………………………………

General Requirement	Comments/Responses
What is your highest qualification?	
What other qualifications you hold?	
What is your work experience	
What are your main competencies?	
What other skills do you have?	
Special Requirement	**Comments/Responses**

Discussion and Feedback

Assessor Signature	Date
Learner Signature	Date

58. Standardization/Validation Meeting Form

Date	
Qualification Title	
Unit Title and Number	
Qualification Code	
Sample(s) checked	
Attendees:	

Name:	Position	Signature

Meeting Agenda:	
1	
2	
3	

PART A: ASSESSMENT AND ASSESSMENT EVIDENCE	
VALIDITY:	Comments
Will the assessment enable the learner to meet the assessment criteria?	
Does the evidence generated match the level of the unit? Is it the evidence suitable for the assessment criteria?	
AUTHENTICITY:	Comments

Can you be confident that this is the learner's own work?	
CONSISTENCY AND RELIABILITY	Comments
If the assessment is used again in a different setting or at another time will the result be the same?	
SUFFICIENCY	Comments
Would the assessment generate enough evidence to cover all the relevant criteria?	
INCLUSIVENESS	Comments
Is there an opportunity to present evidence in a range of suitable formats? Can the assessment cater for a range of learners and their needs? Is the language suited to the level targeted? Could reasonable adjustments be made?	

PART B: ASSESSMENT FEEDBACK AND DECISION	
ASSESSOR FEEDBACK	Comments
Are the assessor's comments specific, clear, focused and helpful for the learner?	
ASSESSOR DECISION	
Do you agree with the assessor's decision?	
PART C: TRACKING AND RECORDING ASSESSMENT	
Comment on the effectiveness of the tracking and recording of assessment	

59. Summative Internal Verification Feedback

Internal Verifier Statement

I have internally verified the assessment work of this unit by carrying out the following activities:			
Activity	**Comments**	**Date 1**	**Date2**
Sampling Learner evidence			
Discussion with Learner			
Observation of assessment practice			
Other (please state)			

Assessment method key   O = observation learner/student EP = examination of produce,
EWT = examination of witness testimony, ER = examination of case history, projects assignments, test,
EPS = examination of personal statement, EWA = examination of written answers to questions,
QC = questioning of candidate, QW = questioning of witness, PD = professional discussion

Assessment methods	O ☐	EP ☐	EWT ☐	ER ☐	EPS ☐	EWA ☐	QC ☐	QW ☐	PD ☐

Statement	Yes	No	IV comment
Appropriate, clear and sufficient assessment planning have taken place	☐	☐	
The evidence is adequate and address the LOs/ PCs within the unit	☐	☐	
The knowledge/ understanding/ competency of learner have been evidenced and assessed	☐	☐	
The evidence presented has been clearly referenced and gathered over a sufficient period of time	☐	☐	
Validation and standardisation activities are achieved properly	☐	☐	

Learners' work is annotated and constructive feedback is provided	☐	☐	
I agree with the assessor's decision	☐	☐	

IV name		Date:	
IV signature		**Date:**	
Countersignature (if relevant)		**Date:**	

60.   Unit Summative Assessment Feedback

Qualification Title and code	
Unit(s)	
Learner Name	
Learner Number	
Completion Date	

Assessor Statement

I confirm that the assessment was conducted as per the approved procedures in safe and practicable conditions and it has been found that the learner has provided valid, authentic, reliable, current and sufficient evidence and met the criteria of this unit.

Assessor Feedback:

Assessor Decision:

Learner Comments:

Learner Name		**Date:**	
Learner Signature		**Date:**	
Assessor name		**Date:**	
Assessor signature		**Date:**	
Countersignature (if relevant)		**Date:**	

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ASTI ACADEMY

A Government of Dubai Recognized Institute

معتمدة ومعترف بها من قبل حكومة دبى

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