



THE AMERICAN UNIVERSITY OF
KURDISTAN

FACULTY HANDBOOK



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INTRODUCTION

Message from the President

Dear Faculty,

In the spirit of shared governance at AUK, the Faculty have the right and obligation to serve as active members in the institutional decision-making process. The text that follows functions as a template for policies and procedures that govern the work life of Faculty at AUK. As the University further builds its infrastructure and hires more Faculty, I am sure there will be a parallel growth in content to be included herein, especially in the areas of teaching load, research, and service to the institution. I believe that working together, we will be able to create a productive and stimulating academic life at this University.

I wish the Faculty good luck in its professional and scholarly pursuits.

Randall Rhodes
President



Message from the Provost

Dear Colleagues,

Our Faculty are the foundation of AUK, their dedication to education and serving the community in Kurdistan and beyond is incredibly valuable for the transformation of society that we all aspire. We are proud of our Faculty who are serving the common good, and upholding the fundamental societal values of respect and civility, equity, integrity, fairness, academic honesty, and academic freedom. We have high expectations for our Faculty's exertion in high caliber classroom interactions and innovative pedagogy, university service and adherence to our policies and procedures. The successful operation of AUK depends to a very large extent on the professionalism and collegiality of the Faculty and Staff.

This Faculty Handbook is meant to be a guide to AUK's most relevant policies and procedures that are pertinent to our Faculty's responsibilities and requirements. Periodic revisions of this Handbook by the Faculty Senate will update it with new AUK policies and procedures. In the case the Board of Trustees changing any of the existing AUK policies or approves a new policy, the Provost's Office will inform the Faculty of the change/s which will take effect from the time of the Board's approval. Furthermore, our Faculty are required to keep abreast of the other AUK policies that are not listed in this Handbook from the AUK website.

I would like to thank the Faculty Senate for putting together this Handbook, and AUK Non-Academic Departments for supporting the work of our Faculty.

Nazar Numan
Provost



Message from the Faculty Senate Department Chair

Dear Colleagues,

The Faculty Handbook is a collaborative effort produced by University Faculty Senators and Administrators. The Handbook is essentially an agreement between the Faculty and administration that describes the obligations of Faculty and guarantees certain Faculty rights. Thus, this Handbook is an important document that provides guidance and promotes a shared understanding of the role of Faculty within the university community.

The Faculty Handbook evolves. As described herein, the Handbook is subject to constant revision. Faculty and administrators work together to clarify and improve the guidelines according to the needs, suggestions, and AUK's new and/or altered guidelines and policies. Please feel free to notify us, the members of the Faculty Senate, of your concerns or suggestions.

The Faculty Senate gives all suggestions proposed by the university community serious consideration. The Faculty Handbook revision process is fundamentally collaborative, and all of the participants demonstrate a commitment to transparency and clear communication. Ultimately, we all seek a written document that is fair to all members of the university community and promotes the university's mission.

Ahmad Afara,
Faculty Senate Department Chair

1 The Faculty Handbook

1.1 Introduction

The American University of Kurdistan (AUK) Faculty Handbook informs Faculty of their rights, duties and obligations attendant upon their positions. All new Faculty members should refer to it after being hired as a general reference guide during their employment at AUK. The presented framework in this Handbook is to cultivate a healthy, safe and structured work environment for all stakeholders of AUK. Such an environment promotes each Faculty member's scholarly, creative, and professional work.

The Handbook is not exhaustive, and additional policies may be proposed according to the amendment processes outlined later in the Handbook. All Faculty members must be familiar with University policies. Additional policies and/or more in-depth explanations may be found in the Student Handbook, Human Relations Policies and Procedures, and the Financial Policies and Procedures.

The Faculty Senate of AUK, having solicited contributions from staff, instructors and Faculty, has adopted the following policies into this AUK Faculty Handbook. Both the President and the Provost of the university must approve any amendment to this Handbook before its dissemination. The Handbook reflects the high standards of a pioneering institution which will be recognized for its exemplary teaching and innovative scholarship.

The Handbook shall be viewed as the main source for Faculty to reference in performance of their functions, obligations and responsibilities. It is the duty of every Faculty member of the University to bring to the attention of the Faculty Senate any changes that should be added to/deleted from this Handbook. Faculty Members are also advised to carefully review their employment contracts which may include additional terms and conditions not covered in this Handbook.

Suggestions for improvement to the Handbook are welcome as it is a continually evolving collaboration between AUK Faculty and the administration. Questions concerning interpretations of this Handbook should be directed to the Provost, President, and/or Legal Counsel.

1.2 Amendments and Modifications

The Faculty Handbook is open to improvements, updates, and amendments. Newly adopted policies will take effect after the Faculty Senate, the Provost, the University Cabinet and Board of Trustees review and approve them. These new policies will then appear in the next revised version of the Faculty Handbook and be circulated amongst Faculty members. When official university policies and procedures are changed by the Board of Trustees, such changes become effective on the date designated at the time of their adoption and supersede any conflicting or inconsistent provision in the Faculty Handbook. The Provost Office will notify the Faculty Senate of such changes.

All amendments must be set forth as follows:

1.2.1 Initiation

The President, Provost, or Faculty Senate Department Chair can submit amendment proposals via a written petition. The written petition must be supported by at least two-thirds (66% or more) of the total Faculty if initiated in the Faculty Senate. New proposals must detail the proposed amendment and all rationales supporting the change or addition. All changes will be reviewed by the University Cabinet. If deemed substantive, they may also need Board approval.

1.2.2 Approval

The proposal shall then be forwarded to the President and Provost. If approved, it will become current policy effective immediately and the Handbook will be amended. Changes proposed by the President or Provost must also be approved by at least two-thirds of the total Faculty. All changes will be reviewed by the University Cabinet. If deemed substantive, they may also need Board approval.

1.2.3 Restrictions

Review of amendments may not take place when one-third or more of the Faculty members are absent. This includes but is not limited to holidays and summer sessions.

1.2.4. Publication and Distribution

The Provost must publish any approved amendment within 30 days of submission OR give adequate explanation why any such amendment has been rejected by the University Administration.

2 The American University of Kurdistan

2.1 History

Founded as a not-for-profit higher learning institution in 2014, The American University of Kurdistan (AUK) is committed to shaping tomorrow's leaders by offering quality education, cutting-edge research, and career-oriented programs via challenging coursework, up-to-date methodologies, and exceptional Faculty.

AUK is located in a strategic location- Duhok, Kurdistan Region of Iraq (KR-I). The university is fast growing, aiming to accommodate 3,000 students with state of the art facilities and becoming the region's preeminent institution of higher education.

2.2 Mission Statement

Founded in 2014 as a non-profit institution of higher learning by Masrour Barzani, the American University of Kurdistan is dedicated to preparing future generations of leaders through curricular and co-curricular excellence in an American style education focusing on transformative knowledge, innovative research, ethical community service, respect for inclusion and diversity, global connectedness, and life-long learning, all aiming to ensure economic, environmental, social and political advancement- regionally, nationally and globally.

The University encourages its diverse student body to accomplish positive, productive and valuable transformations in society. The courses are designed to develop creativity, diligence, and competitiveness. Collaboration, teamwork, and diversity are viewed as the catalysts of success and are to be encouraged. AUK aims to attract the best Faculty and staff to increase investment in research, provide higher quality teaching, and better services to the community.

2.3 Vision Statement

The American University of Kurdistan will be recognized as a premier institution in the Middle East and beyond by cultivating academic excellence, fostering creativity, and engaging in the highest caliber of applied research.

2.4 Academic Freedom

The AUK endorses and upholds academic integrity, and freedom in research and teaching. All Faculty members have academic freedom, as defined by American standards, in their research, scholarship, classroom discussions, and publications that are associated with the AUK.

When acting outside the University and its functions, Faculty members are treated as separate entities. Their opinions and actions do not necessarily reflect the opinions and values of the AUK. While Faculty members are free to speak and write without the fear of institutional censorship or discipline, they should keep in mind their University affiliation and membership in a learned, respected profession. Their actions and publications should reflect the highest standards of well-researched academic knowledge and be conducted with sensitivity and integrity including the use of appropriate language and respect for diversity and gender equity. All Faculty members are required to indicate when they are speaking on behalf of themselves and/or of other entities.

Furthermore, AUK adheres to the American Association of University Professors' (AAUP) "1940 Statement of Principles." It is the responsibility of all to defend and cultivate academic freedom in each of the three elements of academic pursuits: teaching, research, and service. AAUP's guarantees are further detailed below:



- Complete freedom in research and the publication of the results is guaranteed.
- Faculty members are entitled to full freedom in classroom topics that are relevant to the subject matter at hand. Any limitations of this principle must be clearly stated in writing.
- As members of the greater society, Faculty members are free from institutional censorship and academic discipline. However, all Faculty members must keep in mind that their positions as scholars and educational authorities give extra weight to their deeds and words. These reflect on their institution and profession.
- In all cases, Faculty members must strive to ensure their deeds and words are accurate, respectful, and measured. Extra precautions and measures must be taken by Faculty members to indicate when they are not speaking in a professional capacity for the University.

3 University Organization and Governance

The University follows an American model of governance. The Board of Trustees is the original source of authority of the American University of Kurdistan. The senior administration, which is led by the President of AUK, handles operations and serves as the public face of the University. The University Cabinet is a leadership team appointed by the President to serve as a consultative body to the President. The Academic Council and the Faculty Senate provide Faculty members with input into the decision-making process at AUK, particularly in regards to curriculum development and academic affairs. Following are the top individual entities/positions and committees with regard to the shared governance of the University.

3.1 The Board of Trustees

The University's source of authority is vested in a Board of Trustees. The American University of Kurdistan's Board of Trustees consists of at least twelve members, all from prestigious professional backgrounds, with the primary responsibility of guiding the long-term strategy of the University and providing oversight of its finances and operations. Meetings of the full Board are generally twice during the academic year. Most of the Board's work is accomplished through committees that relate to six functional areas of the University: Academic Affairs and Student Life Committee, Admissions Committee, Facilities Committee, Finance and Audit Committee, Communications Committee, and the Advancement Committee. The Board of Trustees also gives final approval on the appointment of the President, the Provost, and Deans of Colleges, and the introduction of new academic programs and colleges.

3.2 Senior Administration at AUK

3.2.1 The President

The President is the Chief Executive Officer of the University. The President provides necessary information and key recommendations to the Board of Trustees and executes the policies of the Board regarding the operation, development, and promotion of the University. The President also serves as the public face of the University.

3.2.2 The Provost

The Provost holds the responsibility of being the Chief Academic Officer of the University. The President



appoints the Provost. The powers and duties of the Provost are assigned by the President. In the absence of the President, all the President's powers and duties will be exercised by the Provost. If the position of Provost is not filled, the President may delegate the position's duties and responsibilities among other senior members of the Administration. The Provost is considered a Faculty member, a member of each academic unit, and every committee. The Provost may therefore attend Faculty meetings, academic unit meetings, or Faculty committee meetings. The Provost receives recommendations developed by the Faculty or academic administration for the consideration of the President.

3.2.3 The University Cabinet

The University Cabinet serves as the President's leadership team to provide the President with consultation on the quality, integrity and sustainability of AUK. It operates to provide the President with candid discussion and recommendations regarding the monitoring of results of operation and application of policies to determine whether they meet the intended outcomes. The University Cabinet consists of representatives of AUK's stakeholders.

3.2.4 The Academic Council

The Academic Council ensures high quality and fair policies and practices affecting University Faculty such as formulating academic policies and regulations, making recommendations in regards to the academic budget, and setting instructional standards for the University. The Council represents the interests and the collective and individual well-being of all Faculty members. The Provost, as the official leader of the Faculty, is the Chair of Academic Council meetings. The members of the Academic Council include all the Deans and Department Chairs, the Director of CELT, and the Department Chair of CPHS. Depending on the agenda of the Academic Council meeting, the Director of ARD, the Director of Students Affairs, Director of CAPA, and the Director of IT may be invited to the AC meetings.

3.2.5 The Faculty Senate

The Faculty Senate is the voice of the Faculty on all matters of the University in which Faculty play a role. The Faculty Senate is considered "advisory" to the Deans, the Provost and the President. It is the responsibility of the Faculty Senate to keep the AUK Faculty Handbook up to date and reflective of their current roles and positions within the university. The Faculty Senate can form sub-committees to address specific issues (e.g. grievance committee, curriculum review committee) as needed.

Faculty Senate meetings will be open to all Faculty members to attend, but only Senators will vote. 60% of Senators present at a meeting will be considered a quorum.

The President and Provost may be invited to address the Faculty Senate or may request to address the body. The Senate will consist of one representative from each university department plus General Education. Each department will nominate its own representative. In departments where there is currently only one full-time Faculty member, that person will automatically become the representative. If a department lacks full-time Faculty, then that seat will remain empty until filled. Senators will be chosen for one-year terms. In addition, the Senate will include one representative of the Adjunct Faculty.

The Faculty Senate Department Chair will be elected yearly from the entire Faculty. This election will be based on a simple nomination or in the case where there are multiple candidates, a vote. The candidate with the most votes will be elected.

The term of the Faculty Senate will be from August 1 until July 31 of the following year.

3.2.6 Deans of Colleges

The Provost appoints Deans as the academic leaders of their Colleges. The Deans report to the Provost and make recommendations for Faculty hiring, continuing appointment/reappointment and promotion. Deans, in collaboration with Department Chairs, establish the study plans and the course catalog content for their Colleges.

3.2.7 The Director of the Center for Peace and Human Security (CPHS)

The Provost appoints the Department Chair of CPHS. The Department Chair of the Center for Peace and Human Security (CPHS) reports to the Provost and is responsible for the research activities of the Center. The Department Chair of CPHS is also the supervisor of researchers working at the Center and visiting scholars associated with the Center.

3.2.8 The Director of the Center for Academic and Professional Advancement (CAPA)

The Director of CAPA reports to the President and is responsible for overseeing the implementation of CAPA's mission which is designed to become the professional center of choice that is responsive to local and regional, public and private sector educational needs. CAPA is the bridge between AUK and the community collaborating with the Provost, Deans, Department Chairs, and faculty on the development, execution, and assessment of professional, noncredit certificates, professional development. It aims to become the leader in nurturing a culture of academic success, higher education preparation, lifelong learning and continuous professional development. CAPA offers newly admitted AUK students English language course based on Pathways curriculum (the program is comprised of 6 levels) and TOEFL preparatory courses. CAPA also offers Young Learners English language learning program for ages 3 to 16, various certificate and diploma programs for professional development and new career pursuit.

3.2.8 Director of the Center of Excellence in Learning and Teaching (CELT)

The Director of CELT reports to the Provost and is responsible for the implementation of CELT's mission which is designed to support and promote innovative approaches to pedagogy that motivate students to become engaged learners and industry-ready graduates, to inspire and foster teaching and learning excellence, and to provide expertise in curriculum design and development.

3.2.9 Department Chairs

Deans, in collaboration with the Provost, appoint Department Chairs. Department Chairs are responsible for the professional development, intellectual development, and administrative duties of their departments. Department Chairs directly report to their respective Deans. In collaboration with the Provost and the Dean of their College, Department Chairs will make recommendations for Faculty hiring, continuing appointment/reappointment, and promotion.



4 Faculty Roles, Ranks, and Titles

AUK employs full-time regular Faculty and part-time adjunct Faculty under temporary arrangements as per institutional need and as negotiated with the candidates.

4.1 Faculty Roles and Ranks

The Faculty Roles are based on the standard workload and expectations of Faculty members with no other appointments at AUK. The workload will be adjusted for Faculty members who also have administrative or research roles (e.g. Deans of Colleges, Department Chairs of Departments, CPHS Researchers). This workload adjustment involves a partial reduction in the teaching workload and an equivalent increase in administrative or research workload.

4.1.1 Full-Time Faculty

4.1.1A Full Professors

Faculty members normally become a Full Professor through a promotion from Associate Professor (or the equivalent) after a positive performance evaluation.

Full Professors are expected to hold a terminal degree (PhD or equivalent) in their respective disciplines. In special circumstances, professional experience in lieu of a terminal degree may be taken into consideration.

Teaching:

Full Professors will have taught full-time in university or equivalent academic institutions for at least 12 years. They will also demonstrate strong evidence of teaching effectiveness.

The teaching workload of Full Professors is 8 courses (24 credits) annually, unless an alternative workload is specified (e.g. Deans, Department Chairs, CPHS Researchers).

Scholarship:

Full Professors are encouraged to develop their research and other scholarly output as part of their scholarship and capacity building that will reflect on their pedagogy and student performance. Research lists in the annual performance evaluation of the Faculty required for the different Faculty ranks are listed in the AUK Research Policy.

Service:

Full Professors are required to participate in Service to AUK and the academic community, such as sitting on committees, organizing events, or sitting on editorial boards of academic journals.

4.2.1B Associate Professors

Faculty members normally become an Associate Professor through a promotion from Assistant Professor (or the equivalent) after a strong performance evaluation.

Associate Professors are expected to hold a terminal degree (PhD or equivalent) in their respective disciplines. In special circumstances, professional experience in lieu of a terminal degree may be taken into consideration.

Teaching:

Associate Professors will have taught full-time in university or equivalent academic institutions for at least 6 years. They will also demonstrate strong evidence of teaching effectiveness.

The teaching workload of Associate Professors is 8 courses (24 credits) annually, unless an alternative workload is specified (e.g. Deans, Department Chairs, CPHS Researchers).

Scholarship:

Associate Professors are encouraged to develop their research and other scholarly output as part of their scholarship and capacity building that will reflect on the overall pedagogy and student performance.

Service:

Associate Professors are required to participate in Service to AUK and the academic community, such as sitting on committees, organizing events, or sitting on editorial boards of academic journals.

4.1.1C Assistant Professors

The position of Assistant Professor is typically the entry point an academic career at AUK. Assistant Professors are expected to hold a terminal degree (PhD or equivalent) in their respective disciplines. In special circumstances, professional experience in lieu of a terminal degree may be taken into consideration.

Teaching:

The teaching workload of Assistant Professors is 8 courses (24 credits) annually, unless an alternative workload is specified (e.g. Deans, Department Chairs, Researchers).

Assistant Professors are expected to demonstrate evidence of teaching effectiveness, particularly as they gain academic experience.

Scholarship:

Assistant Professors are encouraged to develop their research and other scholarly output as part of their scholarship and capacity building that will reflect on the overall pedagogy and student performance. Scholarly output by Assistant Professors will be considered for promotion.

Service:

Assistant Professors are required to participate in Service to AUK and the academic community, such as sitting on committees, organizing events, or sitting on editorial boards of academic journals.

4.1.1D Lecturers

The position of Lecturer is an alternative entry point for an academic career at AUK. Lecturers do not have research workload but are expected to excel in teaching. Lecturers hold a Master's degree (M.S., M.A. or equivalent) in their respective disciplines.

Teaching:

The teaching workload of Lecturers is 8 courses (24 credits) annually. Lecturers are expected to demonstrate strong evidence of teaching effectiveness.

Scholarship:

Lecturers are encouraged to develop their research and other scholarly output as part of their scholarship and capacity building that will reflect on the overall pedagogy and student performance and would support their promotion to higher ranks.

Service:

Lecturers are expected to participate in Service to AUK and the academic community, such as sitting on committees or organizing events.

4.2 Adjunct (Part-Time) Faculty:

Adjunct Faculty members are hired on a part-time basis at AUK. They can be of any rank mentioned for full-time Faculty based on their experience and qualifications, preceded by 'Adjunct'. For example, a new lecturer working part-time at AUK would be an 'Adjunct Lecturer', while an Associate Professor employed full-time at another university who works part-time at AUK would be an 'Adjunct Associate Professor'. The specific terms of employment for Adjunct Faculty are negotiated on an individual basis between AUK and the candidates. It is to be understood that Adjunct Faculty positions are often temporary arrangements based on the needs of AUK and typically do not imply long term employment.

Teaching:

The teaching workload of the Adjunct Faculty is negotiable and should typically vary between 1 to 6 courses (3 to 18 credits) annually. Adjunct Faculty members are expected to demonstrate evidence of teaching effectiveness.

Scholarship:

Adjunct Faculty members do not have a research workload, but are free to pursue research given their expertise and interests.

Service:

Adjunct Faculty members do not have a Service workload.

5 Faculty Contracts

5.1 Other Contractual Considerations

Initial appointments, contract renewals, and promotions are separate actions. Within all notifications of actions, the University shall state in writing the following:

- The rank of initial appointment;
- The rank to which the Faculty member has been promoted;
- The renewal or non-renewal of an existing contract; and/or
- Any action taken in regard to an existing contract during its term.



Contracts with a specific end date will automatically terminate on the date indicated, and this provision constitutes sufficient notice to that effect. However, contracts may be renewed upon the University's initiative. AUK shall notify the Faculty member when this decision has been made.

5.2 Applicable Labor Law

Applicable Iraqi and Kurdistan Region labor law(s) will be applied to all Faculty contracts.

5.3 Search and Appointment for Regular Faculty Positions

Equal opportunity is given to all without discrimination on the basis of race, gender, sexual orientation, religion, age, family status, national origin, or disability. This standard follows the American model of higher education.

The complete University policy on recruitment and hiring is detailed in the separate "Recruitment Policies and Procedures" manual, which must be dutifully referenced and relied upon when researching or conducting Faculty recruitment. Any discrepancy between this manual and The Recruitment Policies and Procedures Manual will be resolved in favor of the latter.

5.4 Beginning of Search

The first step taken by academic units is determining and demonstrating the need for the new appointment; then, they must inform the relevant Dean or Department Chair of their recommendation. Upon the Provost's approval, the Dean, along with Human Resources, will begin conducting a search for the Faculty member. The appointment may be for a new Faculty line or be a replacement for a current vacancy.

5.5 Search Committee

The head of the academic unit in consultation with the unit's Faculty members will first define the needed qualifications for the position. In consultation with the academic unit, the Dean will appoint a Search Committee with the task to identify exceptional applicants and ultimately decide on the new appointment. The head of the academic unit is automatically a member of the Search Committee.

Upon the search's conclusion, the Search Committee will submit at least three potential candidates to the Dean. The list will be accompanied with a rationale for each selection. The Dean, after speaking further with the Search Committee, will submit a final appointment recommendation to the Provost.

5.6 Appointment and Acceptance

The President ultimately appoints all Faculty to their posts. The President's recommendation will depend on the evaluation of candidates and recommendation by the relevant Dean and the Provost. The President will make an official notification of the appointment through an email to HR. HR will send the contract offer to the prospective Faculty member with contract terms provided by the Provost. Any other correspondence between the head of the academic unit or the Dean and the prospective Faculty member is neither official nor binding on the University. Only the signed contract offer, and later the contract, constitutes the terms of employment.

All appointments must satisfy the conditions for Kurdistan's visa and residency laws for employment. All University Faculty must adhere to the professional standards and procedures detailed in the Faculty Handbook.



5.7 Search and Appointment for Term Faculty

5.7.1 Emergency Hires

An emergency hire occurs when a vacancy opens up unexpectedly or too late for the typical recruiting and hiring process. These emergency hires will be offered one year or shorter appointments; longer terms need to be justified by exceptional circumstances.

Upon being notified of the vacancy, the Department Chair or Dean will submit a request to the Provost to begin a search for an emergency hire(s). The Dean will then inform the Department Chair as soon as possible once the position has been filled.

5.7.2 Visiting Professors

The regular Faculty hiring process applies to visiting Faculty appointments except in emergency cases. Emergency cases will follow the emergency hiring process.

Visiting Faculty are expected to be hired for a one-year term.

5.7.3 Professors on Leave

Professors may go on leave when awarded sabbaticals, Fulbright Scholarships, prestigious research grants, or visiting Faculty positions elsewhere. The Department Chair will recommend potential candidates to fill these positions while the Faculty member is absent. Alternatively, the University may decide to fill these temporary open positions based on the Faculty hiring procedures detailed in The Recruitment Policy and Procedures Manual.

The Department Chair's recommendations must also include the appointment terms and conditions. The Dean will receive this recommendation and submit it to the Provost, who shall decide on the final appointment. If the appointment is approved, then the Dean will then notify the Department Chair.

5.7.4 Adjunct Faculty

Adjunct Faculty may be hired and appointed as the need arises in a department, college or other academic unit, or if there is a general need in the University. The Dean or Department Chair of the academic department, college or unit, along with the Provost and President, must agree to the need. The adjunct Faculty may also be hired based a general need in the University as decided by the President and Provost. The Provost, with approval of the President, will authorize the hiring of the adjunct Faculty based on that need.

The hiring process for the adjunct Faculty will be similar to the process for emergency hires. Adjunct Faculty will have one year, or less, term appointments

The office of the relevant Dean, or the Provost, will provide the duties, expectations, and rights of adjunct Faculty. All adjunct Faculty members must receive University communications and be involved in University affairs such as appropriate meetings, public events, seminars, and symposia offered by the University.

Department Chairs, or the Provost, must inform the adjunct Faculty about the needs and objectives of the department, the expectations for students enrolled in the adjunct Faculty's courses, and other required scholarly activity.

6 Faculty Rights and Responsibilities

6.1 Rights



6.1.1 Non-Discrimination Policy

The AUK maintains a strong non-discrimination policy, offering equal opportunity to all individuals regardless of race, gender, sexual orientation, religion, national origin, age, ethnic group, or disability. No employee of AUK shall discriminate against any person on these bases when carrying out University duties. Likewise, the University shall not discriminate against any person on any of these bases when performing or undertaking any action.

6.1.2 Academic Freedom

The ideals of free inquiry and open expression are non-negotiable at AUK. All Faculty members are free to pursue scholarly inquiry, research and study without undue and unjust restrictions, constraints or interference. They are free to voice and publish their individual conclusions regarding the results of their inquiries, research or studies. Additionally, scholarly and academic disagreement with University community members is fully permitted, protected, and often encouraged. Further, Faculty members are entitled to the right to criticize and seek revision of University regulations, norms, and ideas. Freedom in the classroom when teaching relevant material is encouraged within the bounds of acceptable, professional behavior. Faculty members are entirely free from institutional censorship in their speaking, writing, or acting when they are not speaking on behalf of the University, and in venues outside of AUK. However, all works and deeds should be considerate of their responsibility to their profession and the norms of Kurdistan and the greater Iraq.

7 Workload & Responsibilities

7.1 Workload

The following section is intended to ensure the following:

- Academic development of Faculty members in all aspects of teaching, research and fieldwork;
- Workload equity among Faculty members in distributing teaching loads and other academic activities; and
- Incentives for additional teaching, research and funded projects.

7.2 Basic Faculty Workload

The Faculty at AUK engages in the following activities:

- Teaching
- Research
- Fundraising for Research
- Student Recruitment
- Advising
- Administration
- Community service
- Program development
- Assessment

Ultimately, the time management and organization of these activities is the responsibility of the individual Faculty member. However, the financial and administrative requirements of the AUK necessitate the development of guidelines to ensure that Faculty members are treated with equity and fairness in terms of teaching, research and service, in addition to their other responsibilities.

7.3 Rationale for the Teaching Workload Calculations:

The calculation of the Teaching Workload includes efforts that are related, but not limited, to developing a syllabus, preparing for classes, advising students in the class, actual teaching hours, developing exams, and grading. Teaching one credit hour at AUK requires one hour of actual teaching, and, on average, two additional hours of class preparation time in a semester of 15 weeks. In the summer session of 7 weeks' duration, these weekly figures are doubled. Faculty are required to have a minimum of four office hours per week during the fall and spring semesters.

Professors should teach between twelve (12) and twenty-four (24) credits per academic year. At teaching-focused institutions such as AUK, a twenty-four (24)-credit load is a basic course load; this is divided into 12 credit hours in each of the fall and spring semesters. At AUK, no Faculty member is required to teach more than twenty-four (24) credit hours per academic year. Faculty who do not complete the required 24 credit hours of teaching in the fall and spring semesters can teach in the summer to meet their obligations.

By permission of the Dean and Provost, Faculty members may teach a reduced course load when required to commit to other activities such as administrative work, research projects, and/or other institutional endeavors. They have the option of substituting successful grant proposals and management responsibilities for three (3) of those twenty-four (24) credits (please see further details below).

While the academic and practical aspects of AUK's programs have made, and will continue to make, substantive and rapid progress, Faculty members need to always focus on strengthening original research and publications in their respective domains. In this respect, the types of research that are encouraged at AUK are described in the Faculty Scholarship (section 7.11 below). Original research increases the Faculty's ability to transmit first-hand, innovative and relevant knowledge to their students, and to share their knowledge with the scholarly community in their respective fields and with society at large. Taking these issues into consideration, this Handbook underscores the importance of research to be produced by AUK Faculty, and outlines steps to foster a more robust research culture amongst AUK Faculty members.

7.4 Guidelines for Faculty Workload:

The following are the guidelines for the basic workload for a Faculty member at AUK:

- All Assistant Professors and above are required to teach a total of twenty-four (24) credit courses (or equivalent) per academic year.
- For each academic year, all Assistant Professors and those of higher rank will be allowed by approval of the Dean and Provost to reduce their twenty-four teaching credits up to twenty-one (21) credit hours by either:
 - a. Working on articles/chapters to be published in internationally recognized peer-reviewed academic publications (e.g., academic journals, edited books, etc.); and/or
 - b. Working on grant/funding proposals to funding agencies to support their research/practice.

Guidelines will be established to further develop the criteria for equivalency of various publication types and to assess and approve submission of articles and funding proposals.

- All Department Chairs may receive an additional six-credit reduction if they:
 - a. submit a minimum combination of two research article(s); and/or
 - b. submit a funding proposal(s) for the academic year.

The teaching load for a Department Chair may therefore be eighteen credits per academic year.

- All Deans will be required to teach at least the equivalent of two three-credit courses per semester, and to produce either one research article or one funding proposal per academic year. In specific situations, other arrangements equivalent to these requirements may be negotiated between the Provost and the President.
- Instructors are required to teach at least the equivalent of two three-credit courses in their first year. This amount may be increased by two additional credit courses every year until a full teaching load of thirty (30) credits has been reached.
- As a general guideline, Faculty members will teach a maximum of twelve credits in any departmental program. This policy is intended to avoid too much exposure by one Faculty member to the same students. Faculty members who teach more than twelve credits will teach the rest of their credits in electives or courses within the General Education Program. Deans and the Provost may select to override this guideline if they deem it not to be in the best interest of a given program.

7.5 Exceptional Rules for Faculty Workload

Faculty members may engage in several activities that may make it difficult for them to maintain their course load as described above while at the same time committing to other activities. Furthermore, the above guidelines may be adjusted for classes that have more than 30 students.

In such cases, especially when Faculty members are engaged in activities such as, but not limited to, externally funded research, training workshops, administration, Department Chair, chairing certain committees, or working on a funded project, adjustments will be made to their workloads, or they may have the option of overload payment.

The Provost will work collaboratively with Deans and Department Chairs to agree on adjustments to the basic workload for eligible Faculty members and a timeframe for such adjustment – where appropriate. Course load adjustment review will be carried out on an ad hoc basis, and according to the needs of AUK. The Provost, in collaboration with a working group, made up of the Deans and Department Chairs and the Director of Institutional Effectiveness and Planning, will devise procedures for pursuing, developing and approving workload adjustments.

Due to financial implications of such decisions upon the AUK, Faculty workload adjustments which will reduce face-to-face teaching loads could bring additional costs (e.g., due to the need to hire adjunct Faculty, an overload payment), and must be approved by the Provost or President.

7.6 Incentives for Teaching, Research and Funded Activities

This policy provides incentives for: 1) teaching overload; 2) publications; and 3) receiving funding for research/practice. Further details are provided in the Grants Manual.



- There will be occasions when a Faculty member will desire to, or will be asked to, teach additional face-to-face or distance learning courses above his/her course load. The Provost, in collaboration with Deans and Department Chairs, will develop guidelines for compensating such Faculty members when teaching is conducted on an overtime basis.
- The Provost, in collaboration with the Deans and Department Chairs, will develop a reward system to recognize Faculty publications in peer-reviewed academic publications. Peer-reviewed scholarly works (professor's guide, course primer, editing of an original anthology, book chapters, distance learning study guide, and other related work) will be considered on a par with peer-reviewed publications.
- The Provost, in collaboration with the Deans and Department Chairs, will develop an incentive system to recognize Faculty members' success in receiving grants and contracts for which they applied.

7.7 Teaching

Faculty members are responsible for educating students in the spirit of the mission of the University. Their assigned courses must generally conform to the content, format, and official description of said courses as established by their academic unit and approved by the Dean (if applicable) and the Provost.

Faculty members should conduct classes, examinations, and projects according to the University schedule. The pertinent administrators must authorize absences from class or rescheduling due to issues of Faculty health, family issues, or the best interests of the University. In the event of emergencies such as illness or accident, Faculty members should notify, as promptly as possible, the Chair or Dean of their academic unit. Faculty members should nurture the free pursuit of learning in their students, demonstrate respect for their students as individuals, and adhere in all ways to the proper role of an intellectual guide and advisor. Faculty members should make every reasonable effort to encourage honest conduct in their students and to ensure that their assessments and grading of the students/ work reflect each student's true merit.

Faculty members are obliged to use self-discipline, to display good judgment, and to be intellectually honest, when in the process of transmitting knowledge. They are free to discuss their subject in the classroom as they see fit, but they should take care not to introduce inappropriate or irrelevant subjects and material in the classroom.

7.8 Presence on Campus

New Faculty members are required to be available on campus one week prior to the start of the semester's classes in order to participate in any relevant orientation activities. Faculty members may be excused if they take a leave of absence for professional development or in the event of emergency, as long as they are given written authorization from their Chair and Dean.

Faculty members are expected to be available at least four hours per week (or as stipulated in Faculty contracts) to provide advising to students throughout the semester. Office hours are required to be posted on office doors.

Except for official leaves or special ad hoc arrangements that permit a change in the normal teaching load, Faculty are expected to participate fully in the teaching program during each semester of the academic year. In addition, the Faculty's presence on campus is important for service to the University.

7.9 Scholarship

Those at the rank of Assistant Professor and above are expected to be involved in scholarly research. They must also disseminate the results of their research through appropriate venues. Scholarship is understood here, in a broad sense, to include new discoveries, creative and artistic expressions, the development of new pedagogies and teaching materials, and the integration and application of new methodologies.

Faculty members should ensure that their affiliation with AUK is made clear on all work produced while employed by AUK; this includes any Faculty members on leave. Any work disseminated during the term of employment at AUK without listing institutional affiliation may not be considered during the contract renewal or promotion processes.

The Faculty's scholarship and research may reflect any of the four categories in Boyer's Scholarship Model as in the following:

1. Scholarship of Discovery, which involves the discovery of new frontiers of knowledge (basic research) as showcased in peer reviewed research publications.
2. Scholarship of Integration, such as creation of new knowledge through the analysis and integration of previous work. This may be exemplified by professional development, invited conference presentations, inter-professional education, or articles addressing discipline related issues, manuals and textbooks.
3. Scholarship of Application, which involves analysis of previous works, including theory and basic research, to design new practices which are peer-reviewed and disseminated, e.g. research grant applications, research that addresses local environmental, social or economic issues, presenting documents and brief manuals, as well as engineering design and applications.
4. Scholarship of Teaching, involving the creation of effective teaching pedagogies specifically among the Faculty. This can be published in pedagogical journals, workshops on teaching and learning, and conference presentations.

7.10 Service

All regular Faculty members are expected to contribute to the administrative work of their academic unit and college, serving on committees as appropriate. Faculty members are expected to serve their profession and the broader community at large through activities that further the aims and mission of the University and solidify its reputation. Service may include institutional development, advising student clubs, program-level accreditation, and/or expanding the University's mission in the public domain.

8 Professional Conduct and Ethical Obligations and Responsibilities

The principles laid out in this section apply equally to all Faculty members, regardless of rank. AUK's Faculty is expected to be held to high standards of ethical conduct, especially in regards to honesty and integrity. As an academic community of students, Faculty members, and administrators, all must respect the dignity of others, acknowledge their rights to express different opinions, and foster and defend intellectual honesty, free inquiry, and freedom of expression.

When speaking or writing as private citizens or members of the community, Faculty members are free from institutional censorship or discipline. However, Faculty members also have a position of high respect

within the AUK academic community and therefore have certain ethical obligations and responsibilities to the students of AUK, to other members of the University community, to AUK as an institution, and to their profession in general. Some of these obligations and responsibilities are outlined below.

8.1 Ethical Obligations and Responsibilities to the Students of AUK

Faculty members should foster scholarly values, honesty, and free inquiry in their students; conduct themselves in a professional and respectful manner toward their students; use all appropriate self-discipline and good judgment when transmitting knowledge; and be available at reasonable times for students to consult or seek assistance (through keeping regular, posted and convenient office hours). They shall never exploit, harass, or discriminate against students. Students with sensitive matters, particularly as regards to cultural or religious objections, must be dealt with through the assistance of Student Affairs.

8.2 Ethical Obligations and Responsibilities to Other Members of the University Community:

Objectivity and fairness in professional judgments and actions must be held in high regard. Faculty members may not be involved in the exploitation, harassment, or discriminatory treatment of any member of the University community.

8.3 Ethical Obligations and Responsibilities to AUK as an Institution

Faculty members are responsible for the governance of AUK as an institution. Faculty members' work outside the University is to be considered their secondary responsibility.

Furthermore, outside work should be consistent with University regulations. Faculty members are responsible for revealing any outside employment contracts, or any conflicts of interest, as noted in the following section.

8.4 Ethical Obligations and Responsibilities to the Profession

All Faculty conduct outside of the University impacts AUK's public perception and the public perception of the profession as a whole. Therefore, Faculty members must show competence in their field of specialization during all public appearances such as discussions, lectures, or professional meetings. Any deliberate fabrications, falsifications or disingenuous speech or behavior that is deemed to be of such nature by an appointed ad hoc investigative committee will not be tolerated.

Faculty members must also comply with relevant laws, regulations and accepted international standards regarding the protection and welfare of researchers, human subjects, the public, and the environment while in the process of conducting their teaching or research. In this respect, AUK's Institutional Review Board (IRB) is committee of experienced professionals (appointed from inside and outside AUK) that provides proper scientific and ethical reviews and determines if the research project follows the ethical principles for the protection of human subjects. The IRB has the authority to approve, disapprove or require modifications of research projects.



8.5 Conflicts of Interest

While employed by AUK, regular Faculty members must avoid or minimize obligations, financial interests, or outside employment that could affect their objectivity as decision-makers and members of the AUK community. Should a conflict of interest arise, a Faculty member must immediately alert his/her supervisor and all relevant agencies, sponsors, and/or journals. Conflicts of interest may be financial or otherwise with the ability to influence a Faculty member's decisions, actions or public perception. Revealing a conflict of interest is required of all AUK employees and is especially important when involving family members and the potential hiring of family members as employees or consultants or as vendors when purchasing equipment, supplies, or services from a source in which the Faculty member has a vested financial interest. Additionally, Faculty members and their immediate family are not permitted to accept money, gifts or compensation of any kind from students for any services provided.

8.6 Dress Code

Faculty members are expected to look neat, clean, and orderly when performing their duties during the work week or representing AUK off campus. Appearance and attire should not distract other Faculty members, staff, or students.

8.7 Violations of the Above

Serious violations of rules regarding professional conduct, ethics, or conflicts of interest must be reported or referred to the respective Dean and/or Provost. This referral will begin an investigation process. However, the investigation process is meant only for serious violations of the rules. These can be defined as violations that could potentially involve termination of employment. The procedure is not to be used for violations while acting in good faith or what the Department Chair and the Dean deem to be minor violations, which can be addressed privately or as part of the annual performance review procedure. In all allegations, any intentionality and knowingly committed acts of misconduct must be proven by a preponderance of evidence as determined by the investigation.

9 Faculty Leave

9.1 Justification

The definition of leave is broad and includes a number of acceptable reasons for the Faculty member's absence. In some cases, timely opportunities for research or professional development require the Faculty member's absence, however, this absence is not meant to be for recuperation or temporary foreign residence. These opportunities are valuable for the University as a whole due to their impact on the prestige and renown of the University.

Other reasons for leave may include the following:

- Scholarly/professional activities;
- Postdoctoral studies;
- Teaching outside the University as a visiting Faculty member;
- Public or private sector service;
- Military service;
- Temporary residence (outside of Duhok); and
- Recuperation for health reasons.

9.2 Documentation

Necessary documentation must be presented to the Department Chair and the Provost. The required documentation must include an application demonstrating the reason and need for the leave with supporting documentation such as letters of acceptance from the institution that is hosting the academic activity in question. All leaves are granted on a case-by-case basis, depending on the leave's impact. The Faculty is referred to the AUK Leave Policy as per the AUK website.

9.3 Leave Conditions

Faculty are referred to AUK Leave Policy for leave conditions and categories.

9.3.1 Research Leave

Research leave may be granted when a Faculty member receives a research grant or funded award to be conducted outside the University. The University generally encourages such stipends as they increase the profile and the prestige of the institution.

Time spent on research leave counts toward academic promotions. The Faculty member must return to the University at the end of the specified period. Time spent away beyond the agreed upon period is considered leave without pay and cannot be compensated.

9.3.2 Family and Medical Leave

The rules for family and medical leave are covered in the Leave Policy.

9.3.3 Leave without Pay and Leave with Partial Pay

Leave without pay is granted only to Faculty members who have accrued at least one year of service with the University, and must be approved by Dean or Provost and cosigned by the President. Faculty members who take leave without pay receive no compensation, no grants and no benefits.

Leave with partial pay is granted in special circumstances and must be approved by the Provost and President. A fixed percentage of the normal salary is granted for a fixed period. Arrangements must be approved in advance by the Dean and Provost.

10 Professional Conduct

10.1 General Note on Professional Conduct

All individuals must maintain their conduct in adherence to policies addressed here, generally accepted academic norms, applicable government laws, and those policies approved and published by the University. There must be no conflicts of interest and commitment, which are defined as when an individual's outside interests may or may appear to disproportionately or inappropriately influence the individual's performance of his or her University duties, harm the University's or the individual's integrity, or undermine the trust within the academic environment. Faculty members are responsible for disclosing actual and potential conflicts to the respective Dean. Even when the conflict is uncertain, the Faculty member must still disclose the potential issue. The University will then determine whether or not the conflict will interfere with the Faculty member's performance of duties, degrade the University or harm the Faculty member's integrity. Failure to comply with these procedures may result in disciplinary action.



10.2 Conflicts of Interest

A conflict of interest can be defined as, but not be limited to, situations in which an academic, consultancy, or other external non-University related work, is conducted to the disadvantage of the University and its interests. This includes situations in which activities put the University at a competitive disadvantage. This standard applies to all Faculty members, full-time and part-time.

If there is an appearance of or a definite conflict of interest, the individual must inform the appropriate Dean and the Provost. The individual must give a full explanation of the circumstance and an assessment concerning whether or not the situation constitutes a conflict of interest. Thus, the Faculty shall not pursue any activity for profit, gain, or other pecuniary advantage during working hours unless provided with written permission by the University during the Contract Term.

10.3 Conflicts of Commitment

All Faculty members should avoid commitments that interfere with or adversely affect their duties to the University, as outside activities are not always beneficial to the University. These situations may arise in several different forms including, but not limited to, outside teaching appointments and consultant positions. The following details the most common situations in which there are conflicts of commitment.

10.4 Full-Time Faculty

Holding a tenure-line position at another higher education institution is not allowed for AUK full-time Faculty members. Any teaching at other higher education institutions requires prior written approval from the Dean and the Provost.

10.5 Consulting

The University benefits from Faculty members advising and contributing to the private and public sectors as such contributions add to the value of the University and promote quality academic scholarship. Therefore, full-time Faculty members may accept outside consulting positions given that this does not diminish the individual's investment into the University. Generally, consulting activities should not exceed one day of a five-day work week. Research Faculty members whose salaries rely solely on research grants and/or contracts are exempt from this policy.

Payments for consulting activities should not involve the University. This is to protect the University from any responsibility or liability within the contract and/or activities. Faculty members may only use their affiliation with the University as identification.

The appropriate Dean must be informed of time requirements and compensation given from their consulting activities through an annual report, which will be forwarded to the Provost. The Provost will survey the consulting activities for conflicts of commitment. Faculty members are also obligated to report activities that may be in conflict with the University and the individual's duties. Should any conflicts arise Faculty members must stop the consulting activity immediately.

There are several outside activities that are not considered outside consulting but still are encouraged as these serve a broad public purpose and positively represent the University in the public sphere. These include scholarship and professional contributions and service to the profession. Scholarship and professional contributions frequently earn profit for the Faculty member and an outside party such as a publisher. However, these contributions often bolster the Faculty member's scholarship duties. Service activities can be defined as participation in professional associations, governmental boards and agencies, peer group review panels, and advisory groups.



10.6 Access to University Facilities

Usage of University assets and facilities is prohibited unless the individual gains the approval of the Dean and the Provost when the usage is for the purpose of outside consultancies.

10.7 Part-Time Faculty External Employment

The part-time Faculty member must make clear to the employer or client that his or her work has no official connection to the University. The individual may only use their University affiliation for identification.

11 Academic Integrity

Violations of scholarly integrity are prohibited and merit harsh disciplinary action. Violations may include the conscious violation of government laws; dishonesty in publication, academic research, or production through plagiarism, breakage of confidentiality, or fabrication; failure to report major offenses; retaliation against those who report the offenses; or any violations of commonly accepted practices when proposing, conducting, or publishing academic work. Scholarly integrity violations can be through creative, professional, and research activities. Punishable violations do not include differences in interpretation of data or honest mistakes.

Academic misconduct will be investigated by a committee appointed by the Provost and the Dean. Proven cases of Academic Dishonesty according to the definitions and clauses of the Academic Integrity Policy will be penalized according to the severity of the case, and could lead to termination of the contract.



12 Policies and Guidelines 2021-2022

The American University of Kurdistan's policies, procedures, and guidelines assist the University's students, Faculty, and administrators in conducting the business of the University in ways that are transparent, effective, consistent, and compliant with its policies, mission and vision.

Note: All of the Policies and Guidelines are hyperlinked.

12.1 Academic and Student Life

[AS001 – Conferri ng of Degrees](#)

[AS002 – Student Attendance and Classroom Behavior](#)

[AS003 – Student Code of Conduct and Grievance](#)

[Interim AS004 – Academic Integrity](#)

[AS005 – AUK Library](#)

[AS006 – AUK Student Internship](#)

[AS007 – Auditing a Course](#)

[AS008 – Change of Grade](#)

[AS009 – Student Academic Grade Grievance](#)

[AS010 – Examination Procedures Policy](#)

[AS011 – Grievance and Appeal Process](#)

[AS012 – Student Rights](#)

[AS013 – Incomplete Grades](#)

[AS014 – Academic Program Review](#)

[AS015 – Course Substitution](#)

[AS016 – Curriculum Development](#)

[AS017 – Degree Audit](#)

[AS018 – Grading and Evaluation Procedures Policy](#)

[AS019 – New Academic Program Development Policy](#)

[AS020 – Enrollment – Admission Policy](#)

[AS021 – Capstone Projects](#)

[AS022 – Class Size](#)

[AS023 – Program Objectives](#)

[AS024 – Student Course Load](#)

[AS025 – Course Withdrawal Policy](#)

[AS027 – Scholarship](#)



12.2 Facilities and Safety

[FS001 – Emergency Response Procedures Policy](#)

[Interim FS002 – AUK Vehicle Policy](#)

[Interim FS003 – Campus Visitors Policy](#)

[Interim FS004 – Activities and Facility Usage Policy](#)

12.3 Human Resources

[HR001 – Faculty Workload Policy](#)

[HR002 – Faculty Evaluation Procedures Policy](#)

[Interim HR004 – Hiring Policy](#)

[Interim HR005 – Leave Policy](#)

[Interim HR006 – Salary Policy](#)

[Interim HR007 – Time and Attendance Policy](#)

12.4 Business and Finance

[BF001 – Procurement Policy](#)

12.2 Governance and Administration

[GA001 – Appointment of President](#)

[GA002 – Duties and Responsibilities of President](#)

[GA003 – Evaluation and Performance Review of President](#)

[GA004 – AUK Bylaws](#)

[GA005 – AUK BOT Policies](#)

[GA006 – Board of Trustees Conflict of Interest](#)

[GA007 – Policy Management](#)

[GA008 – Faculty Senate Constitution and Bylaws](#)

[GA009 – Social Media Policy](#)

[GA – University Cabinet Charge](#)



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