



## The American University of Kurdistan Policy Management

Policy Number: GA007  
Effective Date: June 6, 2022

### CONTENT

- I. Introduction
- II. Roles and Responsibilities
- III. Policy Statement
- IV. Policy Review and Approval Process
- V. Ongoing Policy Review
- VI. Interim Policies
- VII. Decommissioning a Policy
- VIII. Policies Categories and Coding
- IX. Policy Location
- X. Policy History

### I. INTRODUCTION

- a. **Authority:** The Board of Trustees (herein referred to as “Board”) at The American University of Kurdistan (herein referred to as “AUK” or “University”) is authorized to establish rules and regulations to govern and operate the University and its programs.
- b. **Purpose:** This policy delineates an effective and consistent process of development, revision, and management of AUK’s policies.
- c. **Scope:** This policy applies to all units of the University.

### II. ROLES AND RESPONSIBILITIES

- a. **Responsible Executive:** Board of Trustees
- b. **Responsible Administrator:** Director of IEP
- c. **Responsible Office:** Office of IEP
- d. **Policy Contact:** Director of IEP

### **III. POLICY STATEMENT**

This policy, set forth by the Board of Trustees, shall be followed for developing, revising, and managing AUK's policies. University policies protect the integrity of the University's mission, reputation and operations, encourage accountability, and support the management of major institutional risks. Policies inform University community and third party about the major risks that the University seeks to address and communicate risk tolerance in key areas. All University policies must be developed, modified, approved and published in accordance with the standards outlined in this Policy and must be published on AUK website. They must be kept current, reviewed on a regular basis, and available to all relevant operating units in a timely manner.

### **IV. POLICY REVIEW AND APPROVAL PROCESS**

University policies should be written in a clear and concise manner. The office or the unit of the University that initiates, develops and reviews the policy shall be the Issuing Unit. The following process will be used for developing and reviewing all University policies:

- a. Proposals for new policies or for policies' review are made by the Issuing Unit using the Policy Proposal Form/ the Issuing Unit shall draft the policy using the University's standard Policy Template. The Issuing Unit develops a draft policy or revises a current Policy for which he/she proactively seeks input from all constituents knowledgeable about the subject to ensure that the Policy aligns the mission of the University, promote efficiency, reduce risk, and encourage accountability.
- b. Proposals for new policies or for policies' review are made by the Issuing Unit to the Office of Institutional Effectiveness and Planning (IEP).
- c. The IEP shall notify Academic Council, Faculty Senate, Staff Senate and Student Representatives as appropriate and shall seek inputs from them for a period of ten (10) working days after notification. In case no inputs are received by the end of the 10 working days, the policy will be considered as approved as submitted. The review of the policy by the stakeholders shall be as the following:
  - 10 working days
  - Track change on
  - Policy comments with the track changes sent to the representative of their respective body (e.g. Chair of Faculty Senate, President of Student Government).
  - The representatives send all comments in one document to the IEP
- d. After all comments have been collected by IEP, a meeting will be held to discuss the comments with the issuing unit.
- e. The IEP collects all policy proposals and shares them with stakeholders on the 15th of the month.
- f. After drafting the final version incorporating all comments and signing the Policy Proposal Form, the IEP shall send the Proposal to the University Cabinet. The University Cabinet shall review the Proposal. It has the right to request a briefing on the Proposal by the Issuing Unit in a Cabinet meeting.

- g. If after the review, the University Cabinet requires further information, requests substantive change, or revisions to the proposed policy, the Issuing Unit will have the opportunity to respond within ten (10) business days. The University Cabinet shall review the resubmitted Proposal and shall either approve or reject the Policy.
- h. Upon approval of the University Cabinet and the President, the policy shall be used as an interim policy until approved by the Board of Trustees.
- i. The President shall submit the policy to the Board of Trustees and shall seek an approval during one of the regular Board meetings.
- j. The policy will be effective on the date of approval by the Board of Trustees.
- k. The Office of IEP publishes the approved policy on the AUK website. The IEP is responsible for communicating the policy to the University community. The IEP shall organize seminars or workshops in case any policy requires briefing to the University community.

## **V. ONGOING POLICY REVIEW**

Policies are reviewed every three years unless otherwise specified in the policy. Upon approval of policies by the Board, the Office of IEP shall ask the Issuing Units to review all policies that became effective, three years prior. If after the review, the Issuing Unit wishes to make substantive changes, it will submit a Policy Proposal Form to be reviewed by the University Cabinet according to the process stated in Section IV of this Policy.

## **VI. INTERIM POLICIES**

Policies may be drafted and approved by the President on an interim basis in situations where a University policy must be established in a time period too short to permit the completion of the process delineated in this Policy. An interim policy will remain in force until fully adopted through the process defined in this Policy or for up to nine (9) months from the date of issuance, whichever occurs first. Interim policies must follow University's standard Policy Template.

## **VII. DECOMMISSIONING A POLICY**

An Issuing Unit that believes a University policy is no longer needed or is duplicative of another policy, shall submit a request to the University Cabinet. The Issuing Unit shall use the Policy Proposal Form, collect required signatures, and send to the Office of IEP. Upon approval of the University Cabinet and the President, it will be recommended to the Board of Trustees to decommission the policy. Once approved by the Board, the Office of IEP will remove the policy from the website and will archive the old policy.

## **VIII. POLICIES CATEGORIES AND CODING**

University policies will be presented in categories with unique codes attributed to them. Each code contains two uppercase letters followed by three digits representing the sequence of a policy in the development process. For example, GA023 represents a policy in the category of

Governance and Administration and it is the twenty-third policy that has been developed. The following are the categories of policies with the codes attributed:

1. Academics and Student Life – Code AS000
2. Advancement and Fundraising – Code AF000
3. Business and Finance Practices – Code BF000
4. Facilities and Safety – Code FS000
5. Governance and Administration – Code GA000
6. Human Resources – Code HR000
7. Information Technology – Code IT000

## **IX. POLICY LOCATION**

AUK will maintain an official policies web page, with the most current version of approved all AUK policies. The web page will constitute the official electronic depository for University-wide policies. In order to ensure an organized system of change management and achieve consistency throughout the University, collegial and departmental web pages should not post copies of versions of University policies. Instead, collegial and departmental web pages that reference AUK policies and guidelines must hyperlink to the documents on the official AUK policies web page.

## **X. POLICY HISTORY**

- a. **Approved by:** Board of Trustees
- b. **Adopted:** June 6, 2022



## The American University of Kurdistan Policy Proposal Form

- Check One:       Proposal for new AUK policy (see A below)  
                      Proposal to revise or decommission existing AUK policy (see B below)

Full Name:		
Responsible Unit:		
Email:		
Phone:		
Date:		

### A) Proposal to create new AUK policy:

#### 1. Purpose

A concise summary (approximately 3-5 sentences) of the overall reason for the policy, including specific regulations, if appropriate.

#### 2. Who is affected by this Policy?

To whom the policy applies and under what conditions: students, staff, faculty, and/or visitors.

#### 3. Legal Content or Regulatory Body

Examples include but are not limited to Ministry of Higher Education and Scientific Research, Kurdistan and Iraq Laws, Accreditation Body, etc.

#### 4. Policy Statement

The full text of the policy, including detailed information about the purpose of the policy and details about the policy components. When appropriate, include procedures or steps to accomplish the policy and instructions for reporting and resolving noncompliance with the policy.

#### 5. Responsibilities

The AUK offices or individuals referenced in the policy and their roles and responsibilities specific to the policy.

#### 6. Definitions

Key terms critical to the understanding and compliance of the policy.

**7. Issuing Unit and Contact**

The office or department that issued the policy and a staff member or position title responsible for the policy.

**8. Timeline and Communication/Implementation Plan**

Describe steps for communicating and implementing the policy, including responsible parties. Issuing Units review policies every three (3) years. If this policy should be reviewed or decommissioned before the three-year default date, specify the desired review date and reasons.

**9. Endorsement**

Names and signatures of Senior Manager of the Issuing Unit and University Cabinet representatives

Name: _____	Name: _____
Title: _____	Title: _____
Date: _____	Date: _____
Signature: _____	Signature: _____

**B) Proposal to revise or decommission current AUK policy:**

Policy Name: \_\_\_\_\_

Policy Number: \_\_\_\_\_

**1. Reason for Policy Revision or Decommission and Desired Result**

A concise summary of what the revision or decommission is meant to accomplish or fix and why.

**2. Proposed Revision**

Clear description of the proposed changes, including new language, tracked edits, etc.

**3. Timeline and Communication/Implementation Plan**

Describe steps for communicating and implementing the policy, including responsible parties.

**4. Endorsement**

Names and signatures of Senior Manager of the Issuing Unit and University Cabinet representatives

Name: _____	Name: _____
Title: _____	Title: _____
Date: _____	Date: _____
Signature: _____	Signature: _____