



The American University of Kurdistan Faculty Ranks & Promotion Policy

Policy Number: AS039
Effective Date: May 28, 2023

CONTENT

- I. Introduction
- II. Roles and Responsibilities
- III. Policy Statement
- IV. 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:** To define faculty ranks and to provide the principles, guidelines, and process of faculty promotion.
- c. **Scope:** This policy applies to all full-time faculty.

II. ROLES AND RESPONSIBILITIES

- a. **Responsible Executive:** Provost
- b. **Responsible Administrator:** Provost
- c. **Responsible Office:** Office of Provost
- d. **Policy Contact:** Provost

III. POLICY STATEMENT

AUK is committed to recognizing and rewarding Faculty members whose work demonstrates sustained excellence in the following domains:

- Teaching
- Scholarship
- Service to the University.

Determination of Faculty rank is based on evaluation of a Faculty member's achievements and contributions in these areas. In the process of appointing and promoting Faculty, the academic degrees, academic titles and at least 2 years of experience as faculty member at AUK, and accomplishments in teaching and scholarship will be considered.

The promotion process requires that quality of performance is assessed with respect to the above three performance domains ranges between “meeting expectations” to “exceeding expectations” depending of the priorities set by the Department, College and University. Annual Faculty evaluations (as per the Faculty Evaluation Policy HR002) of the applicant Faculty from three years. The forms F5, F6, F10, F11, F17, and F18 in the mentioned policy will be used for gauging the teaching performance and University service. The scholarship products included in the promotion application will be sent to three external reviewers for evaluation. It is to be noted that evidence of activities by the Faculty in each of the above three activity domains (teaching, scholarship and service) is needed for the process of academic promotion.

The levels of performance of the different Faculty activities at AUK as defined in the Policy HR002 above are:

- Performance exceeds expectations
- Performance meets expectations
- Improvement recommended
- Performance does not meet expectations
- Not applicable/insufficient data

Academic promotion requires that all Faculty members will perform at a level of “meets expectations” or “exceeds expectations”. Faculty who have received a determination of “below expectations” in any of the dimensions within the past three years are not eligible to apply for promotion.

Areas of Achievement Considered During Promotion Review

Three domains of Faculty activity are evaluated in the process of promotion, namely teaching, scholarship, and service. AUK values all three domains as crucial to implementing the mission of the University. As AUK mission is dedicated to preparing future generations of leaders the emphasis leans more towards teaching excellence and teaching scholarship, and hence 50% of the evaluation will be for teaching excellence and scholarship of teaching. The Faculty can determine the

percentage distribution with regards to the other two domains (scholarly publications or products and service to the university and community) with neither being less than 20 percent.

1. Teaching Effectiveness

Meritorious teaching can be identified by regularly assuming substantial teaching responsibility and consistently receiving outstanding teaching evaluations (as per the Annual Faculty Evaluation Policy, HR002) and developing innovative teaching methods. Teaching may include (but is not limited to) active participation in lectures, group discussions, student laboratories and related formal activities; advising/mentoring of students. Positive interactions with students, trainees, residents, fellows and colleagues in the instructional process are important.

Student feedback and evaluations as well as peer review including the annual Faculty evaluation by the Department Chair/ Dean in accordance with the Annual Faculty Evaluation Policy, HR002. These reviews indicate the Applicant's effectiveness as an educator. Thus, the quality and the quantity of teaching activity must be fully documented. Research Faculty whose workload is dedicated to research productivity, must provide evidence of participation in teaching in a program at AUK.

2. Scholarship

The Faculty's scholarship and research may reflect any of the four categories in Boyer's Scholarship Model (<https://files.eric.ed.gov/fulltext/ED326149.pdf>) as in the following:

2.1. Scholarship of Discovery, which involves the discovery of new frontiers of knowledge (basic research) as showcased in peer reviewed research publications.

2.2. 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 review articles addressing discipline related issues, manuals and textbooks.

2.3. 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.

2.4. Scholarship of Teaching, Teaching Scholarship is the systematic inquiry into student learning which advances the practice of teaching through the creation of effective teaching pedagogies specifically among the Faculty. The dissemination of effective teaching pedagogies through publication of articles in peer reviewed pedagogical journals, conducting workshops on teaching and learning, and presenting pedagogic research in conferences.

Scholarly products as stated above are assessed for originality and effectiveness in approach, and their pedagogical benefit, especially within the curricula at AUK. Furthermore, applicants for academic promotion must demonstrate mastery over current disciplinary knowledge, and beyond

that, skill of synthesizing the knowledge to form a whole, a pattern, or a trend, which is within the grasp of their students/readers. Again, the type and prestige of publication sites, the number of citations of published work and indicators of quality, impact and relevance such as in Google Scholar, ResearchGate, Scopus Author Index or other review sites and accolades of scholarly works are considered.

3.Service

Service related activities represent an important contribution to AUK's overall institutional aspirations and goals. Indeed, all Faculty should contribute to the service activities of the Department, College, and the University-at-large, and such activities should be documented in the Annual Faculty Appraisal Forms. The service-related component for the promotion applicant's dossier will be weighed with respect to evidence of significant and substantial service. In this respect the annual evaluation by the Department Chair/ Dean as per the Annual Faculty Evaluation Policy, HR002 will be used for gauging the applicant's professional expertise, achievement, and leadership, which contribute to the University's regional and/or national stature.

3.1. Departmental Service

Activities in support of Departmental Service include:

- Participation on Department, College, and University Committees
- Implementation of tactics contributing to the Institutional Strategic Plan
- Contributing to institutional effectiveness initiatives, including the assessment and monitoring of SLOs and PEOs
- Administrative roles as assigned
- Academic advising
- Writing and supporting grants and other funded research projects

3.2. University Service

Contributions to the overall missions of the University are important; particularly noteworthy in this regard are positions of leadership and responsibility in policy-making, planning, assessment and accreditation committees. This can include, but is not limited to the Faculty Senate, the Academic Council, special task forces (e.g. the Institutional Review Board [IRB], search committees, ad hoc committees, and curriculum committees, as well as meaningful contributions to institutional activities such as AUK held conferences, fora, campaigns, and participation in extramural activities.

3.3. Community Service

Participation in, and contributions to, professionally relevant community-oriented programs, membership in planning groups, or work with or provide solutions to problems that concern the community wellbeing such as environmental, health, services and charity work. These may not be related to the Faculty member's area of disciplinary expertise.

3.4. Regional and/or National Service

Contributions to the Kurdistan Regional development such as leadership or policy-making roles in professional organizations, and providing expertise and advice to governmental entities for the achievement of their institutional objectives. Particularly important are those activities that provide the Faculty with regional and national stature. This may include but not be limited to membership and activities in prestigious nationally recognized research and scholarly societies.

Appointment at the Lecturer Rank

Master's degree in any discipline with two years of related experience, or at least one year of outstanding performance in teaching, research in an established institution will be nominated by the Dean and the Provost for appointment as lecturer, subject to approval of the President and BOT. In the case of medical / nursing fields, the faculty member must have a minimum of two years' full-time clinical experience across the scope of practice within the last five years. The general guidelines for documenting good practice in clinical service and education are used by the Dean and the Provost for nominating individuals for appointment as lecturer, subject to approval of the President and BOT. Faculty who hold a master degree are appointed with the rank of Assistant Lecturer at Iraq universities. Therefore, the rank of Assistant Lecturer with a master's degree is equivalent to the rank of Lecturer when appointed at AUK.

Appointment at the Assistant Professor Rank

Doctoral degree in any discipline with outstanding performance in teaching and research for at least one year in an established institution will be appointed as Assistant Professor by discretion of the Dean and the Provost, subject to approval of the President and BOT. Faculty who holds masters' degree in any discipline who has been Assistant Professor in an established institution will be appointed as Assistant Professor by discretion of the Dean and the Provost, subject to approval of the President and BOT. In case of the medical / nursing fields, the general guidelines for documenting excellence in clinical service and education are used by the Dean and the Provost when nominating individuals for appointment as Assistant Professor, subject to approval of the President and BOT. (See: - NLN Core Competencies for)

Academic Nurse Educators (<https://www.nln.org/education/nursing-education-competencies/core-competencies-for-academic-nurse-educators>);

WHO Nurse Educator Core Competencies (<https://www.who.int/publications/i/item/nurse-educator-core-competencies>)

Furthermore, specialties where master level degrees are considered as terminal degrees (e.g., the MFA, MLArch, and MArch, Master in Librarianship, and Master degree in Physician Assistant) may be given the rank of Assistant Professor. However, the MBA and JD are not considered as terminal degrees. Also, former PhD students who were denied a PhD and instead given a "terminal master's degree" by their university do not qualify for the rank of Assistant Professor. Moreover, faculty who hold a PhD are appointed with the rank of Lecturer at Iraqi universities. Therefore, a Lecturer with a PhD degree is equivalent to Assistant Professor when appointed at AUK.

Promotion to the Assistant Professor Rank

AUK Faculty members who hold masters' degrees can apply for promotion to the rank of Assistant Professor provided s/he has three years of academic service as lecturer at AUK and has accomplished impactful scholarly products or published at least three peer reviewed international journal papers that are affiliated to AUK. The teaching performance and the University service will be obtained from the applicant's annual evaluations (forms F5, F6, F10, F11, F17, and F18 from the Faculty Evaluation Policy HR002). The applicant's scholarship products will be sent to external reviewers for evaluation in accordance with appendix 1, 2, and 3. Faculty who fulfill these requirements will be recommended by the Dean and the Provost for promotion to the rank of Assistant Professor, subject to approval of the President and BOT. Furthermore, in case of medical / nursing fields, the general guidelines for documenting excellence in clinical service and education are used by the Dean and the Provost when nominating individuals for promotion to Assistant Professor, subject to approval of the President and BOT.

Appointment to the Associate Professor Rank

Faculty members who hold a doctoral degree in any discipline and held the position of Associate Professor in an accredited/licensed institution, with credentials of outstanding performance in teaching and research will be nominated for appointment as Associate Professor by the discretion of the Dean and the Provost, subject to approval of the President and BOT. In case of medical / nursing fields, the general guidelines for documenting excellence in clinical service and education are used by the Dean and the Provost when nominating individuals for appointment as Associate Professor, subject to the approval of the President and BOT. Furthermore, PhD holding faculty who are appointees in Iraqi universities and who are appointed first as Lecturers and have been promoted to the rank of Assistant Professor are therefore equivalent in rank to Associate Professor when appointed at AUK.

Promotion to the Associate Professor Rank

AUK Assistant Professor with doctoral degree in any discipline and has served at least three years in this rank can apply for promotion to the rank of Associate Professor. The requirement is having performed impactful scholarly products or published at least three peer reviewed international journal papers that are affiliated to AUK. The teaching performance and the University service will be obtained from the applicant's annual evaluations (forms F5, F6, F10, F11, F17, and F18 from the Faculty Evaluation Policy HR002). The applicant's scholarship products will be sent to external reviewers for evaluation in accordance with appendix 1, 2, and 3. Applicants who fulfill these conditions will be recommended by the Dean and the Provost for promotion to Associate Professor, subject to the approval of the President and BOT. In the case of medical / nursing fields, the general guidelines for documenting excellence in clinical service and education are used by the Dean and Provost for recommending promotion to Associate Professor, subject to the approval of the President and BOT.

Appointment to Professor Rank

Faculty member who holds a doctoral degree in any discipline and was Professor in an established institution, with credentials of outstanding performance in teaching and research will be appointed as Professor by the recommendation of the Dean and the Provost, subject to approval of the President and BOT. In the case of medical / nursing fields, the general guidelines for documenting excellence in clinical service and education are used by the Dean and the Provost when nominating individuals for appointments to Professor, subject to approval of the President and BOT. Furthermore, PhD holding faculty who are appointees in Iraqi universities and who have been promoted to the rank of Professor are therefore equivalent in rank to Professor when appointed at AUK. Faculty members without doctoral degrees or master's degrees that are considered to be "terminal degrees" are not eligible to apply for this rank.

Promotion to Professor Rank

AUK Associate Professors with doctoral degrees in any discipline and have served as Associate Professors at AUK for at least three years, and have accomplished impactful scholarly products or has published at least three peer reviewed international journal papers that are affiliated to AUK are eligible for promotion to the Professor Rank. The teaching performance and the University service will be obtained from the applicant's annual evaluations (forms F5, F6, F10, F11, F17, and F18 from the Faculty Evaluation Policy HR002). The applicant's scholarship products will be sent to external reviewers for evaluation in accordance with appendix 1, 2, and 3. Applicants who fulfill these conditions will be recommended by the Dean and the Provost for promotion to the rank of Professor, subject to approval of the President and BOT. In the case of medical / nursing fields, the general guidelines for documenting excellence in clinical service and education are used by the Dean and the Provost in recommending Faculty for promotion to the rank of Professor, subject to approval of the President and BOT. Faculty members without doctoral degrees or master's degrees that are considered to be "terminal degrees" are not eligible for promotion to this rank.

Procedures for Faculty Promotion

1. The promotion of Faculty to higher rank starts with a preliminary consultation between the Department Chair/Dean and the Faculty about readiness for promotion, preferably based on preparation of a draft dossier. In the event that the Candidate is a Dean, the steps involving the Dean are omitted and the process starts with the Candidate's discussion with the Provost and submission of the Dossier to the Provost. Candidates are advised to submit their applications as early in the academic year as possible. Promotion applications typically take five months to process from the date of submission. Dossiers submitted by January 15 will be decided by June 1 of that academic year.
2. Preparing the Dossier. The applicant prepares a full Dossier consisting of:
 - Cover letter.
 - Up-to-date curriculum vitae.
 - Self-Evaluation of accomplishments organized according to the standards for promotion set forth in the policy, citing evidence of achievement in each of the spheres of teaching, scholarship, and university/professional/public service.

- A list of at least 5 and no more than 7 potential academic referees, which shall include at least 2 experts currently working outside of the AUK. In addition to academic referees, the Candidate may provide a list of up to five current or former students from whom AUK may seek references. Academic referees preferably should have familiarity with the work of the Candidate and the University and its standards as well as the Candidate's field of teaching and scholarship. A list of up to 3 individuals for whom the Candidate requests exclusion as referees, and a brief description of reasons for each exclusion, may be provided as well.
 - Appendix: All scholarship and other supporting materials (or on-line references to such materials) since the last promotion review should be provided in an appendix.
 - The Candidate submits the complete Dossier to his/her Department Chair/Dean.
3. Submission to the Provost. After receiving all Dossier materials, the Dean forwards the Dossier package to the Provost. The Dean must forward the Dossier to the Provost in a timely manner, immediately after receipt of the materials listed in item 2.
 4. Referees. The Provost shall request from a minimum of three reviewers, two of whom must be external to review the applicant's scholarly products. The Provost may not request reviewing from the applicant's exclusionary list. Requests for review and evaluation should include:
 - Copies of, or on-line references to the applicant's scholarly products together with relevant AUK policies along with instructions to conduct evaluations using the relevant forms in Appendix 1, 2, and 3, consistent with AUK's policies and standards.
 - A request that the evaluation be objective and evidence-based.
 - Assurance that the evaluations will remain confidential to the extent allowed by law; only a redacted version will be provided to the applicant, if requested.

In addition to the above, the Provost shall inform all faculty in the applicant's program at AUK with ranks above the current rank of the Candidate that they may express their recommendations on the Candidate's suitability for promotion, in writing, to the Provost. The Dossier, together with all reviewers' evaluations, recommendations, reports, supplemental submissions, and reference letters, is referred to herein as the Promotion File.

5. Ad Hoc Committee. The Provost shall appoint an Ad Hoc Committee comprised of at least three AUK faculty members with ranks higher than the current rank of the Candidate. It is preferred that there be at least one Ad Hoc Committee member from outside the Candidate's College/School and at least one from inside the College/School. At least one member should be in a field close to the Candidate's field of teaching and scholarship. Deans may serve on the Ad Hoc Committee, but the Committee membership may not include the President, the Provost or the Dean of the home College of the applicant. The Provost shall also appoint the Chair of the Ad Hoc Committee. The membership of the Ad Hoc Committee shall remain confidential. The Ad Hoc Committee shall review the entire Promotion File and prepare a report containing its independent evaluation and recommendation based on AUK's standards and policies, which becomes part of the Promotion File. The Ad Hoc Committee shall submit its report to the Provost who in turn will forward it to the Dean of the applicant.

6. Dean’s Review. The Dean will review the Promotion File and will prepare a recommendation to the Provost, which likewise becomes part of the Promotion File.

7. Provost Review. Upon receipt of the Promotion File after the Dean’s review, the Provost shall review the Promotion File to assure completeness and add his/her own evaluation and recommendation based on a holistic and equitable assessment consistent with the AUK definition of scholarship and other AUK promotion decisions.

8. Promotion Decision. The Provost shall then make a recommendation report, add it to the promotion file and send it to the President for his Promotion Decision based on the entire record. In the event that the President’s decision departs from the recommendations of the Dean, the Ad Hoc Committee and/or the Provost, the President shall provide a written explanation that will be included in the Candidate’s Promotion File.

9. Reconsideration. If the promotion is denied, the Candidate may submit a Request for Reconsideration, including supplemental submissions, if any, to the Provost. The Provost shall ask the Dean and the Ad Hoc Committee to review the Request for Reconsideration and any supplemental submissions from the Candidate and make recommendations. The Provost forwards these recommendations along with his/her own to the President. The President’s decision shall be considered final and should be promptly reported in writing to the Candidate. In the event of a negative outcome for reconsideration of a promotion, the Candidate must wait at least 2 years before submitting his or her dossier for a new evaluation for promotion.

10. Access to Promotion File. After the Promotion Decision and/or the Decision upon Reconsideration, the Candidate may request access to a redacted version of the Promotion File, which shall be provided, within ten (10) working days of the request and shall include the recommendations and evaluations of the Dean, Ad Hoc Committee, Provost, and referees who were consulted in making the decision.

11. Promotion Effective Date. Promotion in rank shall become effective at the start of the academic year following the Promotion Decision.

IV. POLICY HISTORY

- a. **Approved by:** Board of Trustees
- b. **Adopted:** May 28, 2023

Appendix 1

Faculty Evaluation Forms F5, F6, F10, F11, F17, and F18 from the Faculty Evaluation Policy HR002 (<https://auk.edu.krd/wp-content/uploads/2022/02/HR002-Faculty-Evaluation-Procedures-Policy.pdf>).

Appendix 2: Research Portfolio Evaluation Form

Name of Faculty Member under Review:		Date of Review:				
Elements of the Review, and Percentage Assessment Score		20%	40%	60%	80%	100%
1	Does the research portfolio evidence the author's clear understanding of the present state of knowledge in his/her domain of specialty?					
2	Are the objectives of the research stated clearly, and do the abstracts state the rationale of the research as well as the main findings?					
3	Is it evident that the author has added new information and knowledge to his domain of specialty?					
4	Are the research papers structured properly i.e. having the basic components of abstract, introduction, materials and methods, results, discussion, references?					
5	Is the strand of research concerned with a contemporary trend in scientific research in the domain of specialty?					
6	Is the data presented as per best practices?					
7	Has the research in the portfolio been peer reviewed? (Include citation rating).					
8	Has the research been published in respected journals?					

Reviewer's average percentage assessment score :

For the rank of Assistant Professor, papers with an average score of 75% and above are acceptable
 For the rank of Associate Professor, papers with an average score of 80% and above are acceptable
 For the rank of Professor, papers with an average score of 85% and above are acceptable

Do you accept this paper for promotion?	Yes		No	
---	-----	--	----	--

Reviewer's information

Name:	
Telephone:	
Email:	
Specialty:	
Affiliation:	
Signature:	

Appendix 3: Literary Work Portfolio Evaluation Form

Name of Faculty Member under Review:		Date of Review:				
Literary Portfolio:						
Elements of the Review and Percentage Assessment Score		20%	40%	60%	80%	100%
1	Is the portfolio of books/articles/literary works well organized and representative of professional expectations/standards?					
2	Does this body of work represent contemporary literary trends/developments?					
3	Does this body of work evidence technical mastery in writing as per the genre?					
4	Does this body of work reflect contemporary philosophical discourse or social realities?					
5	Does this body of work evidence a voice or style that is distinctive in the genre?					
6	Is there substantive peer review of the works presented in the portfolio?					
7	Has the work presented in the portfolio been published by respected publishers?					
8	Is the quantity of work sufficient?					

Reviewer's average percentage assessment score : _____

For the rank of Assistant Professor, books or articles with an average score of 75% and above are acceptable
 For the rank of Associate Professor, books or articles with an average score of 80% and above are acceptable
 For the rank of Professor, books or articles with an average score of 85% and above are acceptable

Do you accept this for promotion?	Yes		No	
-----------------------------------	-----	--	----	--

Reviewer's information

Name:	
Telephone:	
Email:	
Specialty:	
Affiliation:	
Signature:	

Appendix 4: Creative Portfolio Evaluation Form

Name of Faculty Member under Review:		Date of Review:				
Elements of the Review, and Percentage Assessment Score		20%	40%	60%	80%	100%
1	Does the creative portfolio manifest the author's clear understanding of the present state of knowledge in his/her domain or specialty					
2	Are the philosophical objectives clearly stated in the written narrative and communicated via the creative portfolio					
3	Has the author has contributed new perspectives/ideas to his/her domain of specialty					
4	Does the portfolio follow professional standards in format and presentation					
5	Does the portfolio evidence a mastery of technical skills as appropriate to the state of knowledge/technology in his/her domain or specialty					
6	Does the portfolio evidence narratives concerned with contemporary social issues or philosophical inquiry					
7	Does the portfolio document publication of work appropriate to the faculty rank					
8	Does the portfolio document participation in international juried exhibitions appropriate to the faculty rank					

Reviewer's average percentage assessment score :

For the rank of Assistant Professor, papers with an average score of 75% and above are acceptable
 For the rank of Associate Professor, papers with an average score of 80% and above are acceptable
 For the rank of Professor, papers with an average score of 85% and above are acceptable

Do you accept this paper for promotion?	Yes		No	
---	-----	--	----	--

Reviewer's information

Name:	
Telephone:	
Email:	
Specialty:	
Affiliation:	
Signature:	

