



Approved by President of KIMEP University

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Chan Young Sang

Sept. 1, 2022

Date

FACULTY CODE OF PRACTICE

AUGUST 2022



Faculty Code of Practice

KIMEP University

Effective SEPTEMBER 2022

This code governs academic administrators and faculty members' conduct as employees of KIMEP University. It is an integral part of all academic administrators' and faculty members' employment contracts. Integral means that it is a necessary and appropriate part of employment contracts because it establishes ethical principles and operational policies about the related duties and responsibilities described in administrator and faculty contracts. This version of the KIMEP Faculty Code of Practice updates and supersedes all previous versions of the KIMEP Faculty Code of Practice. Where there are conflicts between this Faculty Code of Practice and the KIMEP Human Resources (HR) Policy Manual, the HR Policy Manual text prevails.

This Faculty Code of Practice is divided into several parts, two of which are of principal importance. The first main part consists of a faculty and academic administrator code of conduct. The second main part consists of an academic policies handbook or academic operations manual. It contains additional language regarding the scope and application of the faculty and administrator code of conduct. Taken together, the faculty-administrator code of conduct and academic policies handbook comprise the KIMEP University Faculty Code of Practice.

The current version of the Faculty Code of Practice builds upon discussions at Academic Council and Deans' Committees. It has been drafted by Academic Affairs, reviewed and endorsed by Deans' Committee, Academic Council, Department of Human Resources, Support Services Division, Student Affairs and the Legal Office.

Darman Amiras Ruzer

A handwritten signature in blue ink, which appears to read "Darman Amiras Ruzer". The signature is written in a cursive style and is positioned below the printed name.

Table of Contents

Table of Contents.....2

List of abbreviations8

Part I. Faculty Code of Practice and Policies9

Part II. General Information about KIMEP University9

Part III. Faculty-Administrator Code of Conduct.....11

 1. Introduction and Purpose11

 2. Privileges of Academic Administrators11

 3. Responsibilities of Academic Administrators.....11

 4. Privileges of Faculty12

 5. Responsibilities of Faculty.....13

 6. Standards of Integrity and Quality – KIMEP13

 7. Maintain Confidentiality and Privacy.....13

 8. Conflicts of Interest/Conflicts of Commitment.....13

 9. Fairness and Respect14

 10. Financial Reporting14

 11. Compliance with Laws.....14

 12. Use of University Resources14

 13. Reporting Suspected Violations15

Part IV. Internal and External Relationships.....15

 1. Faculty Objectives15

 1a. The Chair of the Department.....15

 1b. The Dean/Executive Director16

 1c. The Vice-President of Academic Affairs (VPAA)17

 1d. Other Administrative Positions17

 2. Academic Faculty Units.....17

 3. Changes in Academic Structure17

 3a. Closing a Unit, Department or Program.18

 3b. Process of Deciding to Close a UDP.....18

 3c. Opening a New or Modifying an Existing UDP19

 4. Administrative Structure of KIMEP19

 5. KIMEP Administrative Policies and Laws of the Republic of Kazakhstan in Relation to the FCP19

 6. Academic Freedom and Responsibility19

 7. Equitable Workplace19

 8. Equal Opportunities.....20

KIMEP University Faculty Code of Practice

9. Workplace Safety and Security	20
10. Campus Events and Activities	21
11. University Business Transactions.....	21
12. Dealing with Government Officials.	22
13. Business Travel, Research Expenses, and Academic Competitions	22
13a. General Business Travel	22
13b. University Senior Executive Business Travel	23
13c. Dining and Other Support.....	26
13d. Guests/Consultants of the University	26
13e. Allowed Off-Campus Expenses and Tax Deductions.....	26
13f. Academic Research Funds	26
13g. Costs for Research Projects.....	27
13h. Review of Applications for Academic Competitions	27
Part V. Faculty Workload, Working Calendar, Absences, and Compensation	28
1a. Teaching Load Requirements for Administrators and Teaching Remissions	29
1b. Fall-Spring-Summer Semester Minimum Class Sizes.....	29
1c. Offering Independent Studies Based on Student Request	29
1d. Offering and Canceling Low-Enrolled Courses.	30
1e. Teaching Loads and Overloads, Teaching Load Calculation and Compensation.	30
1f. Compensation for Summer Teaching.....	31
1g. Supervising Undergraduate and Graduate Theses.	31
1h. Comprehensive Exam Preparation.	32
2. Academic Calendar and Mandatory Attendance at KIMEP Graduation	32
3. Holidays and Mid-Semester Breaks	33
4. New Year Break	33
5. Leave of Absence.....	33
5a. Early Departures and Late Arrivals.....	34
5b. Student Study Plans During Leave.....	34
5c. Short-Term Leaves.....	34
5d. Longer-Term LOAs.....	35
5e. Maternity Leaves.....	35
5f. Sick Leave.....	35
5g. Funeral Leave	36
5h. Paid Vacation	36
5i. Other Benefits.....	36
6. Pay Periods and Statements.....	36
7. Policy Supporting International Mobility among Faculty	36

KIMEP University Faculty Code of Practice

Part VI. Faculty Rank and Appointment	37
1. Faculty Ranks, Line Management and Faculty Restructuring	37
1a. Clinical Faculty	37
1b. Line Management.....	37
1c. Faculty Restructuring.....	37
2. Kazakhstan Labor Law	37
3. Selection on Merit.....	37
3a. Posting of Vacancies and Advertising	37
3b. Recruitment and Selection	38
3c. Language Qualification and Faculty Selection.....	38
4. Types of Academic Appointments and Letters of Appointment.....	38
5. Other Appointments	38
6. Contracts of Employment	38
7. Contract Renewal.....	39
8. Faculty Evaluation	39
9. Initial Academic Appointments	39
9a. First Year Teaching Load for New Faculty	39
10. Lecturer, Senior Lecturer, Assistant/Associate/Full Professor	39
10a. Lecturer	39
10b. Senior Lecturer.....	39
10c. Assistant Professor.....	40
10d. Associate Professor	40
10e. Professor	40
10f. Assistant/Associate/Full Professor of Practice	40
10g. Assistant Professor of Practice	40
10h. Associate Professor of Practice.....	40
10i. Professor of Practice	40
11. Adjunct Faculty	41
11a. Adjunct Faculty Position Titles	41
11b. Recruitment and Selection of Adjunct Faculty	41
11c. Adjunct Lecturer	41
11d. Adjunct Senior Lecturer.....	41
11e. Adjunct Principal Lecturer (previously Adjunct Professorial ranks)	41
12. Adjunct Faculty Selection Procedures and Hiring Criteria.....	42
13. Adjunct Faculty Working Conditions.....	42
14. Adjunct Faculty Teaching Evaluation and Teaching Assignment.....	42
15. Adjunct Faculty Contracts and Letters of Appointment	42

KIMEP University Faculty Code of Practice

16. Adjunct Faculty Notice of Policies and Procedures	43
17. Adjunct Faculty Compensation and Benefits.....	43
17a. Compensation	43
17b. Adjunct Faculty Grievance and Appointment Rights	43
18. Adjunct Faculty Subsequent Appointments.....	43
19. Adjunct Faculty Participation in the Campus Community.....	43
20. Teaching Assistants (TAs)	43
21. New Faculty Orientation to KIMEP	44
22. Performance Evaluation Decisions and Merit Review.....	45
23. Annual Performance and Merit Reviews	45
24. Recommended Process of Merit Review Includes the Following Steps:.....	46
25. Faculty Attaining Pension Age	46
26. Faculty Member Retention Decisions of Pension Aged Faculty.....	47
27. Emeritus Faculty.....	47
28. Newly-Hired Retention Review and Criteria	47
28a. First Year.....	47
28b. Subsequent Renewals	48
28c. Teaching, Research/Scholarship, and University Service/Professional Activities/Voluntary Community Service Criteria for Retention	48
29. Early Termination	48
30. Promotion Review and Criteria.....	48
30a. Teaching Criteria for Promotion	48
30b. Research/Scholarship Criteria for Promotion	49
30c. University Service/Professional Activities/Voluntary Community Service Criteria for Promotion.....	50
30d. Promotion Recommendations and Promotion Portfolio.....	50
31. Planning Toward Promotion	51
32. Special Requests during Faculty Promotion Review.....	51
33. On Composition of KIMEP University's Committees	52
34. Department and College Faculty Retention Committees and Promotion Peer Review Committees.....	52
35. Promotion Procedure for a Sitting Dean.....	53
36. KIMEP University Promotion Committee.....	53
37. University Retention and Promotion Appeals Committee (URPAC).....	53
38. University Retention and Promotion Appeals Committee Recommendation and VPAA Recommendation	54
39. Professorial Faculty Promotion Approval	55
40. Lecturer - Senior Lecturer Promotion Approval	55
41. Granting Honorary Degrees	55
42. Resignation Notice	56

KIMEP University Faculty Code of Practice

43. Final Clearance	56
44. Force Majeure	56
Part VII. Faculty-Student Relations	56
1. Student Class Attendance and Behavior.....	56
1a. Students' Excused Absences.....	57
1b. Students' Unexcused Absences.....	58
2. Faculty Responsibilities for Syllabus Information	59
3. Online Courses.....	59
4. Assessment Policies and Procedures	59
5. Policy on Online Assessments	60
6. Feedback Policy	61
7. Grade Appeals	61
8. Student Advising	62
9. Student Affairs Communication, Mandatory.....	63
10. Student Affairs Communication, Voluntary.....	63
Part VIII. KIMEP Academic Council	63
1. The KIMEP Academic Council.....	63
2. The Responsibilities of the AC	63
3. Summer Academic Affairs Oversight Committee	64
Part IX. Conflicts, Conduct and Conflict Resolution	64
1. Conflict of Commitment	64
2. Conflicts of Interest.....	64
3. Sexual Harassment.....	64
4. Professional Misconduct and Neglect of Duty.....	65
5. Personal Misconduct.....	65
6. Gross Misconduct.....	66
7. Discipline: Culpable Conduct	66
8. Discipline: Non-Culpable Conduct.....	67
9. Standard of Evidence Required and Time Frame	67
10. Progressive Discipline Process in Response to Misconduct (with or without Culpability)	67
11. A Formal Apology.....	68
12. Termination of Contract by KIMEP University	68
13. Appeal of Discipline and/or Termination Decisions	68
14. Disciplinary Records.....	69
15. Appeal – Non-Disciplinary Issues.....	69
16. Faculty/Administrator Disciplinary Hearings	69
Part X. Particular Academic Concerns	70

KIMEP University Faculty Code of Practice

1. Copyright and Intellectual Property	70
2. Activity Abroad Academic Study	71
2a. Examples of Activities Abroad:.....	71
2b. Conditions of Activities Abroad:.....	71
2c. Criteria for Activities Abroad:	72
2d. Approval Process for Activities Abroad:	72
3. Academic Credits/ECTS.....	72
Part XI. Appendices	74
Appendix III-1 — Glossary of Key Terms	74
Appendix VI-1 — Retention of Retirement (Pension) Age Faculty	75
Appendix VI-2 — Promotion.....	76
Appendix VI-3 — Professorial Promotion Requirements for Research/Scholarship Activities	79
Appendix VI-4 — University Retention Promotion Committee Confidentiality Agreement	90
Appendix VI-5 — Timeline for Promotion Review	91
Appendix VI-6 — Appealing Faculty Promotion Recommendations.....	93
Appendix VI-7 — Department Request for Staff Position.....	94
Appendix VI-8 — Academic Administrator Hiring Evaluation	95
Appendix VI-9 — Academic Faculty Hiring Interview Evaluation.....	96
Appendix VI-10 — Academic Faculty Hiring Class Presentation Evaluation	97
Appendix VI-11 — Hiring Process.....	98
Appendix VI-12 — Adjunct Faculty Hiring Process	100
Appendix VI-13 — Template Full-time Faculty/Adjunct Hiring Recommendation Memo	102
Appendix VI-14 — Academic Faculty Positions/Job Descriptions	103
Appendix VI-15 — Teaching Assistant Job Description and Code of Conduct	107
Appendix VI-16 — Annual Quality Assurance Activities Plan.....	109
Appendix VI-17 — Calculating Teaching Load.....	112
Appendix VII-1 — Glossary of Terms about Student Academic Performance	113
Appendix VII-2 — Responding to Behavioral Disruptions on Campus, in Classrooms	117
Appendix VII-3 — Responding to Emergency Situations	125
PROCEDURE: MEDICAL EMERGENCIES	125
PROCEDURE: FIRE EMERGENCIES/BLDG. FIRE ALARMS	126
PROCEDURE: EARTHQUAKES: During ALL Earthquakes (all occupants)	127
PROCEDURE: BUILDING LOCKDOWN—Active Shooter.....	128
PROCEDURE: BOMB THREATS.....	129

List of abbreviations

AC – Academic Council
AVPAA – Associate Vice President of Academic Affairs
BCB – Bang College of Business
CHE – College of Humanities and Education
CSS – College of Social Sciences
EEC – The Executive Education Center
GE – General Education
GPA – Grade Point Average/Cumulative Overall Average
HR – Human Resources
IS – Independent study
LC RK – Labor Code of Kazakhstan
LOA – Leave of Absence
MES – Kazakhstan’s Ministry of Education and Science
SAAOC – Summer Academic Affairs Oversight Committee
SL – School of Law
TA – Teaching assistant
UPD – Unit, Department or Program
URPAC – University Promotion and Retention Appeals Committee
VPAA – Vice-President of Academic Affairs
WLPP – The World Languages and Preparatory Program

Part I. Faculty Code of Practice and Policies

Introduction. The Faculty Code of Practice (FCP) broadly describes the various faculty and academic administrator workload expectations, personnel issues, governance policies and concerns about student status that direct academic life and operations, planning and development at KIMEP University. It includes relevant policies, processes and procedures that help administrators and faculty members make and enforce decisions. It guides and facilitates academic affairs at KIMEP University. It is modular in design so that the FCP as a whole remains in force even when changes are being made to particular sections.

Copies of the FCP. Academic Affairs will provide electronic access to the current copy of the FCP on the VPAA “L drive”. As the FCP is subject to periodic review and change, the definitive copy will be the current version on the L drive.

Revisions to the FCP. This FCP may be revised by KIMEP administrative orders or upon instruction from the Board. Such orders or instructions will replace the relevant sections of the FCP. The FCP may also be revised from time to time by the President’s Cabinet, or by recommendation of KIMEP Faculty members or Academic Affairs, following consultation with Deans’ Committee and Academic Council (AC). Where changes are made to the FCP, these changes will be brought to the attention of all faculty members. Faculty are expected to observe these policies and consequent amendments to the FCP. The FCP will be reviewed annually each summer to conform with existing KIMEP administrative policies and revised as needed to update outdated sections.

In order to update the FCP in an orderly manner, the office of the VPAA will append updated policies at the end of the basic text until the summer, at which time the policies will be incorporated into the existing sections.

Delegation of Authority for Enforcing the FCP. The President of KIMEP University authorizes the VPAA to guide and administer all aspects of the academic program for KIMEP University. This authority includes the development of this FCP and its policies, their application and their enforcement. In exercising this authority, the VPAA is subject to guidance by Presidential or Board directives. Further delegation of authority by the VPAA to Deans and Chairs must be communicated in writing. The VPAA or, in their absence, the President or their delegate, has the ultimate responsibility for the application, enforcement and interpretation of the terms of the FCP. Decisions about faculty status made under the terms of the FCP, including questions of interpretation, are subject to appeal as set out below.

Part II. General Information about KIMEP University

1. Mission. The mission of KIMEP University is to develop well-educated citizens and to improve the quality of life in Kazakhstan and the Central Asian region through teaching, learning and the advancement of knowledge in the fields of business administration and social sciences as well as through community service.

2. Brief History and Description of KIMEP University. The Kazakhstan Institute of Management, Economics, and Strategic Research (KIMEP) was formally created, by resolution of the President of the Republic of Kazakhstan, Nursultan Nazarbayev, on 1 January 1992 as a non-profit, American-style, credit-based institution authorized to provide higher education. KIMEP is currently managed by its President, Dr. Chan Young Bang, who reports to the KIMEP Board. Its current premises were provided by the national government in 1992. KIMEP admitted its first students into its Master of Business Administration (MBA) and Master of Arts in Economics (MAE) programs in August 1992. The change in status to KIMEP University was formally recognized by the Republic of Kazakhstan’s Ministry of Justice in February 2012. KIMEP’s academic programs were internationally accredited by the Agency for Quality Assurance and Accreditation Austria (AQ AAA) in 2012. Its academic programs were re-accredited by the Foundation for International Business Administration Accreditation (FIBAA) in 2018. Additionally, KIMEP obtained institutional accreditation from FIBAA in 2020. The University offers 31 English-taught degree programs, including 14 undergraduate programs, 12 graduate programs from Bang College of Business, School of Law, College of Social Sciences, College of Humanities and Education and the Executive Education Center. Moreover, KIMEP offers 5 doctoral programs in Management, Marketing, Finance, Accounting and Auditing, and Education Policy and Management. KIMEP students come from every nation in Central Asia and from approximately 22 other nations. For more information on enrollment, see KIMEP Intranet: Enrollment Statistics. KIMEP University operates in a tri-lingual multiethnic environment of Kazakh/Russian/English with English serving as the principal language of instruction.

3. The Board of Trustees. The governing body of KIMEP University the Board of Trustees (the Board). Its members are leaders in the spheres of academia, business and government bodies both in Kazakhstan and internationally. Members of the Board are elected by the General Meeting of shareholders of NJSC KIMEP University. The main purpose of the Board is to hold the University in trust for public service. The Board is responsible for formulating the specifics of the University's mission, establishing policies to enable it to fulfill this mission, and seeing that these policies are carried out. The Board makes key decisions relating to the strategic development of NJSC KIMEP University, the utilization of up-to-date international educational technologies, and the development of research activities and international academic collaboration. The Board oversees the general administration of the University, with the exception of those academic issues which are given to the General Meeting of Shareholders, the AC, and the President's Cabinet.

4. The KIMEP Charter. The Charter includes several provisions regarding the legal status of NJSC KIMEP University, its goals and objectives, founders, rights and obligations of the shareholders as well as management, faculty, research and support staff.

5. KIMEP University Administration. KIMEP's chief executive officer is the President. Senior administrative officers of KIMEP University include the Provost and General Deputy to the President, Vice-President for Finance (VPF), and the Vice-President for Academic Affairs (VPAA). Deans direct academic programs within their respective units. In Academic Year 2020-2021, the units are the Bang College of Business (BCB), the College of Humanities and Education (CHE), the College of Social Science (CSS), and the School of Law (SL).

The President's Cabinet is responsible for management of current operations of KIMEP University. The President's Cabinet of KIMEP University has the right to make decisions in regards to any operational issues at KIMEP University not referred to as the responsibility of other bodies and officials of KIMEP University by statutes of the Republic of Kazakhstan and its Charter. Membership includes the President, Vice-Presidents, Deans, and other Directors as designated. Upon occasion, the President may make decisions in consultation with VPs.

The Deans may be assisted in managing the colleges through a college council, which serves as an advisory body to the Dean. In addition, the Director of Quality Assurance and Institutional Research (QAIR), the Director of the Library, and the VPAA are concerned with the processes and results of course and program review, the quality of the academic resources for students, and with all aspects of student life. The Academic Council (the AC) meets regularly to decide academic policies and procedures and to advise the VPAA. The bylaws of the AC may be found on the KIMEP website. A further description of the AC can be found below.

6. Core values of the University (adopted by the KIMEP Board in November 2009):

- a. We value all people both within and outside our organization, regardless of their nationality, religion, gender or other factors not related to the purposes of the Institution.
- b. We value the well-being of our students, faculty, and staff.
- c. We encourage personal and professional development in an environment of collegiality and trust.
- d. We value our responsibility to develop future leaders of society who will embrace the highest ethical standards.
- e. We value quality in our education programs and research activities.
- f. We value the holistic development of our students, instilling in them a questioning spirit and the ability and desire to learn throughout life.
- g. We value the creation, application, and dissemination of knowledge in a culture which fully supports the freedom of inquiry and speech.
- h. We value fairness and integrity and will not tolerate favoritism, nepotism or corruption.
- i. We value open, honest communications and transparent and accountable decision-making.
- j. We value partnerships with our community, including the parents of our students, business, government, and non-government organizations, within The Republic of Kazakhstan and throughout the world.
- k. We value the high reputation of KIMEP University in the Republic of Kazakhstan and beyond, and also its important contribution to the growth of society.

The key elements are respect, openness, honesty and integrity with commitment to quality and intolerance of nepotism, corruption, and discrimination in any form.

Part III. Faculty-Administrator Code of Conduct

This FCP begins with a Faculty-Administrator Code of Conduct that is modular in format. It is divided into several sections and is designed so that amendments can be made to sections yet the document as a whole remains in force. It includes a Glossary (see Appendix III-1) with a set of key terms and their definitions and then proceeds to an introduction and explanation of purpose. The rest of this Code of Conduct describes the rights and responsibilities of academic administrators and faculty members, a set of core values that form the basis for conduct at KIMEP University, and a series of statements about key concerns related to life at KIMEP University, including: confidentiality and privacy, conflicts of interest, acting fairly and respectfully towards others, ethical financial reporting and compliance with laws, ethical use of university resources and the reporting of suspected violations of this code of conduct. It describes the rights and responsibilities of all faculty members and academic administrators employed by KIMEP University.

1. Introduction and Purpose

a. Introduction. Academic administrators, faculty, members of the Board, and the University President are responsible for sustaining integrity, honesty and fairness and to integrate these values into teaching, research, service and administrative practices. These values reflect ethical principles for faculty guided by the advancement of knowledge, acting as academic mentors for their students, respecting and collaborating with colleagues in an academic community, responsibly serving an academic institution, while exercising the rights and obligations of individual members of society. These principles encompass major concerns traditionally and currently important to academic life and academic community.

b. Purpose. This Code of Conduct is a statement of shared governance for upholding the ethical, professional and legal standards used as the basis for daily and long-term decisions and actions. Each faculty member and administrator are individually accountable for actions and collectively accountable as a university community for upholding these standards of behavior and for compliance with all applicable laws and policies. It is the intent of this FCP to protect academic freedom, to help preserve the highest standards of teaching and scholarship, to ensure effective management based on KIMEP's Core Values, and to advance the mission of the University as an institution of higher learning in a spirit of partnership and collaboration.

2. Privileges of Academic Administrators

Academic administrators are members of KIMEP faculty authorized by the President of KIMEP University to guide and administer all aspects of the academic program for KIMEP University. Further delegation of authority by the VPAA to other administrators and faculty members is communicated in writing. This authority includes the development of this Code of Practice and its application to academic life at KIMEP. In exercising this authority, the academic administrators are subject to guidance by Presidential and/or Board directives. This authority is expressed by:

- a. Allocating teaching and related activities, leading and managing academic programs and ensuring full compliance with quality assurance and accreditation requirements;
- b. Overseeing all academic personnel matters including: recruiting, appointment, and reappointment; submitting documents of termination and dismissal; conducting faculty evaluation, promotion and merit reviews; and preparing and approving faculty workload plans and long-range professional development plans;
- c. Preparing and revising, as necessary, academic program planning and evaluation.

3. Responsibilities of Academic Administrators

Administrators are expected to comply with legitimate orders, as set forth in the KIMEP FCP as well as relevant laws of the Republic of Kazakhstan which guide their work. Administrators manage and safeguard unit financial, physical, spatial, and technical resources, demonstrated in part by:

- a. Ensuring that departmental faculty or staff members are granted appropriate systems access and resources for the performance of their duties;
- b. Being evaluated and receiving satisfactory ratings from ongoing internal audits with no significant weaknesses noted or taking appropriate corrective action where needed;
- c. Maintaining a balanced budget;

Administrators also provide leadership by initiating and maintaining good managerial practices demonstrated in part by:

- a. Following the University's administrative policies, procedures, and business practices;
- b. Establishing a system of checks and balances, including segregation of duties, for all administrative and business functions;
- c. Maintaining accurate equipment inventory;
- d. Reviewing faculty or staff member Leave of Absence (LOA) requests and all forms reviewed for student welfare, accuracy and compliance with policy with required signatures and approvals obtained;
- e. Providing a positive work environment to faculty and staff members based on well-defined and communicated expectations for administrative and business processes;
- f. Ensuring that all departmental faculty and staff are fully aware of their obligations to comply with university policies and procedures;
- g. Ensuring that faculty and/or staff members receive appropriate training when necessary and maintain the skills and knowledge necessary to carry out their work functions;
- h. Establishing internal procedures to ensure that monitoring and oversight are ongoing.

Administrators also ensure timely completion of all required reviews and reconciliations, including:

- a. Faculty teaching, merit reviews;
- b. College or unit reviews;
- c. Program reviews;
- d. Administrative reviews.

Administrators also limit the university's exposure to inappropriate costs or charges by:

- a. Ensuring that all personnel and payroll actions are processed in a timely manner, minimizing risks of overpayment;
- b. Ensuring compliance with contractual or Republic of Kazakhstan regulations.

4. Privileges of Faculty

In support of the University's purpose as an institution of higher learning, the major responsibility of the administration is to support and encourage faculty members' teaching, learning, research, and public service. The University supports and encourages faculty members by granting specific rights including:

- a. Free inquiry and exchange of ideas;
- b. Enjoyment of freedom of expression while respecting the privacy and security of other people;
- c. Opportunity to address any matter of institutional policy or action when acting as a member of the faculty;
- d. Presentation of any material relevant to the subject matter as defined in a course syllabus;
- e. Participation in the governance of the University, as provided in the academic policies and regulations of the University, including:
 - i. Approval of course content and manner of instruction;
 - ii. Establishment of requirements for matriculation and for degrees;
 - iii. Appointment and promotion of faculty;
 - iv. Selection of Chairs of departments;
 - v. Establishment of norms for teaching responsibilities and for evaluation of both faculty and student achievement;
 - vi. Determination of the forms of departmental governance;
 - vii. The right to be judged by one's colleagues, in accordance with fair procedures and due process, in matters of promotion solely on the basis of the faculty members' professional qualifications and professional conduct;
 - viii. The right to be judged by one's colleagues, in accordance with fair procedures and due process in matters of discipline for the sole purpose of preserving conditions hospitable to teaching, learning, research, and public service;
 - ix. Formulation of rules and procedures for the discipline of students.

5. Responsibilities of Faculty

Academic freedoms bring academic responsibilities. Faculty members are expected to comply with legitimate orders, policies, standards and regulations, including those set forth in the KIMEP FCP as well as relevant laws of the Republic of Kazakhstan. The principal responsibilities of faculty include:

- a. Meeting their defined teaching, research, and service obligations;
- b. Pursuing excellence, intellectual honesty, and objectivity in teaching, in conducting research, in publishing research findings and in evaluating students and colleagues.

6. Standards of Integrity and Quality – KIMEP

Administrators and faculty members must earn and maintain a reputation for integrity that upholds the core values of KIMEP University. These values are addressed to administrator and faculty members collectively:

- a. We value the well-being of our students, faculty, and staff.
- b. We encourage personal and professional development in an environment of collegiality and trust.
- c. We value quality in our education programs and research activities.
- d. We value the holistic development of our students, instilling in them a questioning spirit and the ability and desire to learn throughout life.
- e. We value our responsibility to develop the future leaders of society who will embrace the highest ethical standards.
- f. We value the creation, application, and dissemination of knowledge in a culture, which fully supports the freedom of inquiry and speech.
- g. We value fairness and integrity and will not tolerate favoritism, nepotism or corruption.
- h. We value open, honest communications and transparent and accountable decision-making.
- i. We value partnerships with our community, including the parents of our students, business, government, and non-government organizations, within The Republic of Kazakhstan and throughout the world.
- j. We value the high reputation of our University in the Republic of Kazakhstan and beyond, and also its important contribution to the growth of society.
- k. We value all people both within and outside our organization, regardless of their nationality, religion, gender or other factors.

Administrator and faculty member decisions and actions are tested against these values. Even the appearance of misconduct or impropriety can be very damaging to the University. Administrators and faculty must strive at all times to maintain the highest standards of quality and integrity.

7. Maintain Confidentiality and Privacy

KIMEP administrators and faculty members may receive and generate on behalf of the University various types of confidential, proprietary and private information related to other faculty or staff members, students or related to third parties such as businesses. It is imperative that each administrator and faculty member maintain confidentiality pertaining to the use, protection and disclosure of such information and maintains the privacy of individuals connected with such information. Information on specific privacy policies and the signing of non-disclosure agreements may be obtained from the Office of Human Resources (HR).

8. Conflicts of Interest/Conflicts of Commitment

KIMEP administrators and faculty members are expected to direct their professional efforts and time to KIMEP University and its mission to provide education, research/scholarship and service. Outside professional activities, private financial interests or the receipt of benefits from third parties may cause an actual or perceived divergence between the University mission and an individual's private interests. In order to protect KIMEP's primary mission, faculty members with other professional or financial interests shall disclose them to their supervisors and follow established policies and procedures as described in the FCP.

9. Fairness and Respect

According to the KIMEP Core Values, KIMEP University administrators and faculty members will treat one another fairly and with respect. To encourage such behavior, the University prohibits discrimination and harassment and provides equal opportunities for all faculty and administrators and applicants regardless of any characteristic protected by law including: race, color, religious creed, national origin, ancestry, physical or mental disability, medical condition, marital status, veteran status, sex, age, sexual orientation, or gender identity. Where actions are found to have occurred that violate this standard the University will take prompt action to stop the offending conduct, prevent its recurrence and discipline those responsible. Specific policies and procedures in support of this standard can be found in the FCP.

10. Financial Reporting

All University accounts, financial reports, tax returns, expense reimbursements, time sheets and other documents, including those submitted to government agencies, must be accurate, clear and complete. While this responsibility primarily falls to management; where relevant, faculty also must follow guidance. All entries in university books and records, including departmental accounts and individual expense reports, must accurately reflect each transaction. Specific policies and procedures in support of this standard can be found in the FCP.

11. Compliance with Laws

KIMEP University administrators and faculty members must comply with applicable laws of the Republic of Kazakhstan, regulations, and University policies and procedures. Managers and supervisors are responsible for teaching and monitoring compliance with policies and procedures. When questions arise pertaining to the interpretation or applicability of a policy, faculty and/or staff members have an obligation to contact the relevant office, which has oversight of the policy as identified in the FCP. All unresolved questions and/or interpretation of laws and regulations should be referred to the Legal Office. University-wide academic policy documents can be found in the FCP. Compliance with laws includes:

- a. Contractual Obligations. The acceptance of an agreement, including sponsored project funding, creates a legal obligation on the part of KIMEP University to comply with the terms and conditions of the agreement and applicable laws and regulations. Therefore, only individuals who have authority delegated by an appropriate University official can enter into agreements on behalf of the University.
- b. Environmental Health & Safety, including Workplace Health and Safety. Although KIMEP University is responsible for workplace health and safety, faculty and administrators must be committed to protecting the health and safety of every faculty, administrator and administrative/physical plant staff members by providing a safe workplace. The University will provide information and training about health and safety hazards, and safeguards. Community members must adhere to good health and safety practices and comply with all environmental health and safety laws and regulations.
- c. Non-University Professional Standards. Some professions and disciplines represented at the University are governed by standards and codes specific to their profession, such as attorneys and certified public accountants. Those professional standards generally advance the quality of the profession and/or discipline by developing codes of ethics, conduct, and professional responsibility and standards to guide their members. Those belonging to such organizations are expected to follow University policies and codes of conduct in addition to any professional standards. If a community member believes there is a conflict between a professional standard and University policy, they should contact the Office of Academic Affairs.
- d. Academic Policies and Procedures.

12. Use of University Resources

University resources must be reserved for business and academic purposes on behalf of the University. They may not be used for personal gain, and may not be employed for personal use except in a manner that is incidental and reasonable in light of the faculty or staff member's duties. University resources include, but are not limited to, the use of university systems (e.g., telephone systems, data communication and networking services); the use of university equipment (e.g., computers and peripherals, University vehicles); the use of procurement tools such as purchasing cards; and the time and effort of staff, students and others at KIMEP University.

13. Reporting Suspected Violations

Approval of this Code of Conduct makes KIMEP faculty and administrators responsible for bringing suspected violations of applicable standards, policies, laws or regulations to the attention of the appropriate office (department, college, Academic Affairs or HR). Raising such concerns is a service to the University and does not jeopardize one's position or employment. Confirmed violations will result in appropriate disciplinary action up to and including termination of employment or other relationships with the University. Violations of this Code of Conduct are managed through an enforcement process applicable to unacceptable academic administrator and faculty behavior. This process must be guided by standards of fairness and significant faculty involvement. It is expected that case adjudication, the lessons of experience and evolving standards of the profession will promote reasoned adaptation and change of this Code. Faculty and academic administrators may be subjected to disciplinary action under this Code, the Code of Administrative Offenses and the Labor Code of the Republic of Kazakhstan for any type of conduct, which, although not specifically enumerated herein, meet the standard for unacceptable behavior described in the FCP. Rules and sanctions that currently exist to cover such actions derive from sources external to this Code such as the Republic of Kazakhstan legal codes. In some circumstances, civil and criminal charges and penalties may apply in accordance with applicable legislation of Kazakhstan. The reporting suspected violations includes:

- a. Reporting to Management. Members of the KIMEP community should report suspected violations of this Code, applicable laws, regulations, or government contracts and grant requirements. This reporting should normally be made initially through standard management channels, beginning with the immediate supervisor. If for any reason it is not appropriate to report suspected violations to the immediate supervisor (e.g., the suspected violation is by the supervisor) individuals may go to a higher level of management within their college or academic unit. All faculty and academic administrators are expected to cooperate with committees or agents delegated with authority by the President's Cabinet or Academic Affairs to investigate suspected violations of this Code.
- b. Other Reporting. All violations of laws or regulations should be reported internally in writing to University Legal Office. Violations that are academically related must also be reported to Academic Affairs.
- c. Confidentiality. Such reports may be made confidentially; although the more information that is given, including written statements of witnesses, the easier it will be to investigate the reports. Raising such concerns is a service to the University and does not jeopardize employment. Malicious and unfounded reporting will be treated as a violation of this Code and those persons giving such reports will be subjected to disciplinary action. Confirmed reports of malicious or unfounded reporting will result in appropriate disciplinary action up to and including termination from employment or other relationships with the University.
- d. Questions. Direct any questions regarding the intent or applicability of this Code to Academic Affairs and/or the University Legal Office.

Part IV. Internal and External Relationships

1. Faculty Objectives: Teaching, scholarship and service guide faculty members. *Through teaching*, faculty members at KIMEP University offer doctoral, graduate and undergraduate degree programs at the highest level of international educational standards. We seek to select students from among those who demonstrate not only high academic ability, but also equitable treatment of other people, leadership, talent and language capabilities, irrespective of their financial means, gender or ethnic origin. *Through research and scholarship*, faculty members at KIMEP University add to what is known about the world and about human societies in particular and also create an academic culture at KIMEP University, which supports intellectual and social inquiry and innovation that draws students' interests in academic disciplines and habits of thinking. *Through service*, faculty members at KIMEP University provide academic, administrative and facility resources to the university community, professional associations, and society that are also supportive of the University's academic mission.

The following objectives guide Chairs, Deans and the VPAA:

1a. The Chair of the Department

Serves as the immediate line manager for most individual faculty members and has the following duties:

KIMEP University Faculty Code of Practice

- a. Serves as the official channel of communications for all matters affecting the department as a whole, between the department and the dean, other university officials, or departments;
- b. Calls meetings of the departmental faculty and of the executive committee and presides over the meetings. They shall call a meeting at the request of any two members of the department. Each department shall meet at least once every semester;
- c. Has charge of all official correspondence of the department and of all departmental announcements in the catalogue or other university publications;
- d. Determines that all necessary records of teaching, research and service and quality assurance activities of the department are properly kept and are always accessible to the proper authorities;
- e. Reports to the dean regarding the activities and needs of the department;
- f. Has responsibility for all departmental supplies;
- g. Submits new courses, major revisions of existing courses, and deletion of courses proposed by the department for action by college executive committee and by the dean;
- h. Takes action in case of emergency evacuation by serving as the evacuation warden (see Emergency Procedures Appendix);
- i. In general, acts as the executive of the department.

As a matter of policy, the chair of an academic department is appointed internally through nomination. The following procedures will be followed:

Nomination:

1) The full-time faculty members of an academic department elect a five-member Nominating Committee that can include members of any rank. The Nominating Committee, after consultation with the faculty, proposes one or two full time faculty members for the position of Chair to the Dean of the College. The Committee shall justify its nomination in terms of the candidate's proven record of management, organization and communication abilities, qualifications and experience. The Dean, after consultation with the nominated candidate (s) and the VPAA, recommends the appointment. The Dean and/or VPAA may reject the nomination of any or all of the candidates proposed by the Nominating Committee, stating their reasons and call for other candidates.

2) The term of office for a Department Chair is one year. The Chair can be reappointed for an unlimited number of additional terms; however, the selection procedure involving the Nominating Committee needs to be followed before each reappointment.

Removal of a sitting Chair:

A sitting chair can be relieved of his/her position through faculty vote of no confidence. The Dean of the College, or a majority of (50% + 1) of full-time Department faculty, can call for a vote of no confidence in a Chair. The faculty members call for a vote of no confidence must be submitted to the dean in writing. The Dean arranges a departmental meeting in which the matter is placed. If two-thirds of the full-time faculties indicate no confidence in such a vote, then the Chair will be relieved of his/her office although They will remain a member of the full- time faculty. In such a case a new Nominating Committee will be elected to propose new candidates for the position of Chair. If this is not possible the Vice President of Academic Affairs, with concurrence of the Dean, can appoint an Interim Chair for a period no longer than one semester. Resignation of a Chair:

If a Chair resigns his/her office or leaves KIMEP before the completion of his/her term, the Dean, with concurrence of the VPAA, may appoint an Interim Chair for a period of no longer than one semester.

1b. The Dean/Executive Director

Serves as the intermediate line manager overseeing a college or school at KIMEP and has the following duties:

- a. Coordinating the assessment and development of academic programs within the School/College.
- b. Preparing and revising, as necessary, academic program plans for the School/College.
- c. Promoting and serving as a model for teaching professional achievement and professional service;
- d. Overseeing all personnel matters involving academic and non-academic employees including: recruiting, appointment, re-appointment; termination and dismissal; faculty evaluation, promotion and merit; and the preparation and approval(s) of faculty workload plans and long-range professional development plans.

- e. Maintaining good working relationships with faculty and administration in all academic and non-academic areas;
- f. Communicating effectively with various constituencies within the University, surrounding community and State regarding the School/College;
- g. Maintaining effective communication between students, faculty and Chairs within the School/College and with other academic unit personnel;
- h. Serving as a liaison with relevant professional associations and state and national regulatory and accrediting agencies;
- i. Articulating University policy and procedures to members of the School/College.
- j. Ensuring that School/College policies and practices are consistent with those of the University;
- k. Articulating the budgetary needs of the School/College and overseeing the allocation and expenditure of resources;
- l. Coordinating the use of facilities assigned to the School/College;
- m. Overseeing the preparation of class schedules and complying with institutional reporting requirements;
- n. Maintaining student records;
- o. Providing a system of advising;
- p. Working with Chairs to encourage grant applications by faculty members and to prepare proposals for outside funding of special projects; and
- q. Additional responsibilities as assigned by the Vice President for Academic Affairs or President. This set of responsibilities shall be subject to periodic review.

1c. The Vice-President of Academic Affairs (VPAA) serves as the chief academic officer overseeing all colleges and schools at KIMEP and has the following duties:

- a. Serves on the University's leadership team and works with the President, the Provost, the other Vice-Presidents, the Deans of the academic programs, and various University councils and committees to carry out the mission of the University;
- b. Represents the University to external constituencies in a manner determined by the President;
- c. Represents the academic division to the President's Cabinet and the Board;
- d. Is responsible for all operations of the University related to academic leadership, curriculum, personnel management for the academic division, budget planning and fiscal management for the academic division;
- e. Supports and works in partnership with the faculty governance system;
- f. Reports to the President.

1d. Other Administrative Positions

Upon occasion the administration may create new positions, for example, Associate Vice President of Academic Affairs (AVPAA) or Dean of Quality Assurance. These positions will be introduced into the FCP as they are created and filled.

2. Academic Faculty Units. KIMEP is a not-for-profit institution of higher education organized into six units, which offer a range of doctoral, graduate, undergraduate, foundational, certificate and non-degree programs. The units are:

- Bang College of Business (BCB)
- The Executive Education Center (EEC)
- College of Social Sciences (CSS)
- School of Law (SL)
- College of Humanities and Education (CHE)
- The World Languages and Preparatory Program (WLP)

Further details about the academic departments and programs organized within KIMEP University can be found by visiting the KIMEP website.

3. Changes in Academic Structure. In order to maintain high quality academic programs and respond to student/societal needs for academic programs, KIMEP University may develop new academic degree programs and close existing programs. Responsibility for determining the academic structure of the University rests with the Administration and the Board, but changes are carried out in consultation with the faculty and the AC. Any proposal for change in academic structure should contain all the information needed to make a decision. It should explain the reason

for the change, whom it would affect, and the method and timeline of its implementation. The proposal should describe the change's advantages and disadvantages including all financial and human resources implications.

3a. Closing a Unit, Department or Program.

Closing a Unit/Department/Program (UDP) is the formal termination of a UDP. The criteria for assessing proposals to close include:

- a. The UDP is no longer consistent with KIMEP's academic objectives, priorities and existing strengths of the University;
- b. The UDP is no longer of high academic quality;
- c. There is convincing evidence of lack of student demand and/or societal need for the UDP. This evidence could include any of the following:
 - i. A decrease in the number of degrees awarded;
 - ii. A decrease in the quality or amount of faculty scholarship within the UDP;
 - iii. A continuing decrease in attracting the best qualified applicants to a UDP;
 - iv. An inability to meet internal and/or external standards relative to that UDP;
 - v. Insufficient resources available to support the UDP.

3b. Process of Deciding to Close a UDP

1. When contemplating closing or substantially reorganizing a program, academic department or unit, the President and the VPAA are encouraged to seek the guidance and advice of the AC on ways to consult with affected faculty, students, and staff.

Restructuring or closing a UDP can be initiated by: a) a recommendation from the department or academic unit delivering the program, or from the relevant Dean(s), to the VPAA or designate; or b) a recommendation from a UDP review, to the VPAA that a UDP should be closed. No recommendation from a Dean or the VPAA to close a UDP shall be forwarded to AC until the academic UDP concerned has been notified of the intention to make such a recommendation and has provided, within 30 calendar days of receipt of such recommendation, a written response to the recommendation. The proposal and UDP faculty response shall be discussed with members in the UDP, the relevant Chair, the relevant Dean(s), the VPAA (or designate), and the provost.

2. Regardless of its origin, a recommendation for closure of an academic UDP must be forwarded to the AC for consideration. The AC shall receive from the relevant Chair and Dean(s) a statement of academic and resource decisions that have been made by the department and faculty respectively with regard to the UDP under consideration for closure. In addition, the UDP and relevant Dean(s) shall indicate the priority accorded the UDP under review. Other departments or academic units for which the UDP in question is integral to their own offerings should also be informed of the proposed closure and given an opportunity to comment to AC on the ramifications of closure on their work. AC shall recommend to the VPAA or designate whether or not the UDP should be closed.
3. The VPAA or designate shall transmit AC's recommendation to the President's Cabinet, together with documentation supporting the recommendation and comments on the recommendation.
4. Based upon information provided by the VPAA or designate, by AC, the UDP, and considering the University-wide academic and financial context, the President's Cabinet will consider whether the UDP should be closed.
5. The President's Cabinet will present its recommendation on whether to proceed with closure of the UDP to the President for final decision.
6. The date for discontinuing or phasing out a UDP will take into consideration the time required for anticipated completion by students currently enrolled or for facilitation of their placement in acceptable alternative programs.
7. Students will be notified of the UDP closure and timeline for ending activities. Other implications including designated awards, calendar changes, and arrangements with other institutions must be reviewed and appropriate resolutions must be arranged.
8. The process to close a UDP shall take place in a prompt and timely fashion, bearing in mind the effects of prolonged debate on the individuals and units involved.

3c. Opening a New or Modifying an Existing UDP may occur for various reasons. The growth of new knowledge may make it necessary to introduce new sequences of courses to facilitate the dissemination of that knowledge. New perspectives and society's differing needs may encourage the restructuring of existing curricula or course offerings. Increased resources may make it possible to introduce programs previously unavailable. Decreased resources may dictate the elimination of some courses or programs, and the restructuring of others.

The criteria for evaluating proposals for new UDPs should ensure:

- that the UDP is consistent with the principles, mission and priorities of KIMEP;
- that the UDP is of high academic quality;
- that there is appropriate market demand for the UDP; and
- that sufficient resources can be made available to support the UDP.

While the initiative, impetus and planning of an academic UDP normally is the primary responsibility of the department or unit that will implement it, the conceptualization of a program may come from any number of sources, including the President, VPAA, Deans, Chairs, faculty members, or from some agency external to KIMEP, including the Ministry of Education and Science (MES).

Whatever the origin of the idea, a detailed planning process must usually take place in the department or unit. This process includes consultation with, and assistance from other sources, including Deans and members of the administration. Offices of the Dean, the VPAA or the President may suggest a new or modified program of their own. In this case, the proposal must be forwarded to the UDP with written instructions for consideration.

4. Administrative Structure of KIMEP. Details about the structure of KIMEP University's administrative departments can be found on the KIMEP Intranet site and in this document, including the Appendix.

5. KIMEP Administrative Policies and Laws of the Republic of Kazakhstan in Relation to the FCP. The information contained in the FCP is intended and presented to conform with existing KIMEP administrative policies. When there is a conflict between existing KIMEP administrative policy (e.g., HR labor guidelines, Accounting Office travel requirements, Finance Department payment policies) and the FCP, the policies of the administrative units with responsibility for the particular concern will prevail and supersede the FCP text. Every effort has been made to ensure that the information contained in the FCP is in conformity with, or exceeds the requirements of the laws of the Republic of Kazakhstan. However, where there is a conflict between the FCP and the laws of the Republic of Kazakhstan, the laws of the Republic of Kazakhstan will control.

6. Academic Freedom and Responsibility. KIMEP University recognizes that faculty members should have and enjoy academic freedom in support of their teaching and research, but requires faculty to behave in a professional and responsible manner, in conformity with the regulatory environment of the University, including compliance with quality assurance and quality enhancement requirements. Accordingly, full-time faculty are expected to engage across the broad spectrum of academic activities, including teaching, scholarship and research, thesis supervision, student advising support, course and program administration, curricula development, quality assurance, quality enhancement, and community service.

Administrators and faculty members are expected to comply with legitimate orders, policies, standards and regulations, including those set forth in the FCP as well as relevant administrative rules and laws of the Republic of Kazakhstan.

7. Equitable Workplace. KIMEP University is committed to provide a fair and inclusive secular environment for all members of our diverse community and prohibits discrimination and harassment against any individual on the basis of ethnicity or national origin, race, gender, age, personal beliefs (religious and/or political), socio-economic background, sexual orientation, and physical or psychological disability unrelated to job or learning requirements. This policy extends to all privileges, rights, and activities and applies to all recruitment, admission, scholarship, registration, housing, learning support policies and to all employment decisions including recruitment, hiring, promotion, termination, as well as compensation and benefits.

The policy requires, for students, that admission to the University and progression toward graduation is to be determined only on personal merit and by performance. For staff, entry into employment and progression are to be determined only by personal merit and by the application and evaluation of criteria which are directly related to the duties and conditions of each particular position. No student, member of staff, applicant for admission as a student, or

applicant for appointment as a member of staff will be treated less or more favorably than another because of their membership in a protected group.

If any person admitted as a student or appointed as a member of staff believes that they are a victim of unlawful discrimination or harassment because of membership in a group, they may file a complaint with the Provost and General Deputy of the President (for staff) or VPAA (for students), which will be dealt with through the agreed procedures for handling all such complaints or grievances as appropriate. The University will take whatever action may be needed to prevent, and if necessary, discipline behavior which violates this policy.

8. Equal Opportunities. KIMEP University is committed to providing equal educational opportunity for and participation of students and faculty with disabilities. It is the University's policy that no qualified student or faculty with a disability be excluded from participating in any University program or activity, denied the benefits of any University program or activity, or otherwise subjected to discrimination with regard to any University program or activity. In this regard, KIMEP University has implemented the following policies:

- a. KIMEP University strictly prohibits any form of discrimination against people with disabilities.
- b. KIMEP University offers individualized assessment and reasonable accommodation to otherwise qualified individuals with disabilities. For purposes of this policy, a person shall be deemed to be disabled if they have a physical, psychological, and/or medical condition, which substantially affects one or more major life activities; has a record of such a condition; or is regarded as having such a condition.
- c. For purposes of this policy, an otherwise qualified person with a disability is defined as any individual who meets the academic and technical standards requisite for admission to and participation in the University's educational program and activities.

9. Workplace Safety and Security. KIMEP University will provide a safe and secure workplace for all faculty, staff, students and visitors. This policy confirms the University's commitment to provide a safe environment in which to work and learn. It applies to all faculty, staff, students, vendors and visitors at all University-owned, controlled or leased premises, at any location where University business is conducted, or at which faculty, staff, students, vendors or visitors represent the University, including while attending off-campus meetings, conferences, or while riding in university-owned or leased vehicles.

KIMEP University prohibits any form of violence, bullying, harassment, intimidation, threatening, aggressive behaviors, property damage, stalking or threats by or against any faculty, staff, student, vendor or visitor to the University. Violating this policy will result in disciplinary action up to and including dismissal for unacceptable personal conduct and may also result in criminal prosecution.

Bullying and Harassment behaviors include but are not limited to the following actions:

- Repeated hurtful remarks or attacks, or making fun of your work or you as a person (including your family, sex, sexuality, gender identity, race or culture, education or economic background);
- Sexual harassment, particularly unwelcome touching and sexually explicit comments and requests that make you uncomfortable;
- Exclusion from working with people or taking part in activities that relate to your work;
- Mind games, peer pressure, or other types of psychological harassment;
- Intimidation (making you feel less important and undervalued);
- Assignment of tasks unrelated to your job description or that are impossible to accomplish given the time or resources provided;
- Intentional changing of work hours or schedule to make it difficult for you;
- Intentional withholding of information you need to get your work done properly;
- Pushing, shoving, tripping, grabbing you in the workplace;
- Attacking or threatening with equipment, knives, guns, clubs or any other type of object that can be turned into a weapon.

Faculty should report all incidents of workplace violence, bullying, aggressive or abusive behavior to:

- a. University Security;
- b. To the immediate manager or supervisor.

The University will, to the extent possible, handle reports of workplace violence confidentially, except when it is necessary to communicate to individuals who need to know pertinent information so that they may take appropriate action. The University also may be required to report such incidents to the relevant local authorities in order to comply with Republic of Kazakhstan laws and regulations. The University will be sensitive and responsive to the potential for fear of reprisal expressed by faculty, staff or students who report threats, unlawful pressure, or acts of violence.

10. Campus Events and Activities. Events and activities on the KIMEP campus must not violate either the KIMEP Charter or KIMEP's mission.

Outside organizations that seek to involve themselves in the activities and events of KIMEP students must have express written permission of the Executive Director of Student Affairs. All outside-sponsored student events and any posting of supporting publicity materials therefor on the KIMEP campus must have express written permission of the Executive Director of Student Affairs. KIMEP may charge a fee for the use of its facilities by outside sponsors. Smoking, vaping, the use of vape-related and similar products, and consumption of alcohol is not allowed anywhere on the KIMEP campus. This policy must be strictly followed at all events and activities on the campus. Use of obscene language and material that can spread hatred, or can be considered offensive to an ethnic, religious or cultural group, is not allowed on the KIMEP campus or in any KIMEP-sponsored events or activities.

11. University Business Transactions

- a. No KIMEP faculty or staff member is entitled to authorize payment or commitment on behalf of KIMEP University to vendors/suppliers without prior written management approval. If a faculty or staff member misrepresents the existence of such approval, that person shall be responsible for paying any costs to the vendor/supplier as well as being liable for legal consequences.
- b. Members of the KIMEP University community are required to act with honesty and integrity and comply with applicable laws at all times when transacting University business. Bribery in any form is strictly prohibited and constitutes grounds for immediate dismissal. A bribe does not actually have to take place or be accepted; the act of offering or agreeing to accept a bribe is in and of itself a violation of the Policy. Facilitation payments are prohibited under this policy. Actual or suspected instances of bribery or corruption must be reported promptly to the immediate supervisor. Members of the KIMEP University community should evaluate the risk of bribery in the activities under their purview and take appropriate care to detect and prevent bribery.
- c. Before entering into any kind of commercial relationship with a third party, members of the KIMEP community should first consult with the University's legal department and complete sufficient due diligence to ensure that the individual or organization does not have a history of corrupt practices, and understand and agree that they are not authorized to engage in any form of bribery or corruption on KIMEP's behalf. The level of due diligence required may vary depending on the level of risk involved in the transaction, e.g., whether the third party will be interacting with government officials on behalf of the University or whether the services will occur in a country that involves a high risk of corruption. Care should be taken to ensure vendors' understanding of and commitment to compliance with anti-bribery laws when entering into engagements with expeditors to provide logistical support for international activities, including air and ocean freight consolidation and forwarding, vendor consolidation, customs clearance, and distribution activities.
- d. At a minimum, members of the KIMEP community should (1) ensure that third parties do not have a history of violations of anti-bribery laws, (2) provide them a copy of this guide memo, and (3) regularly audit their activities to ensure ongoing compliance. Any agreements with third parties must include express provisions that they will comply with any and all local anti-bribery laws.
- e. KIMEP University is committed to ensuring that members of the community can speak up with confidence if they have any concerns or need to ask for guidance. If any person suspects or observes anything that they believe might be a violation of the policies related to bribery, campus events & activities or workplace safety and security, they should report it to the VPAA, Legal Department and the Human Resources Department (HR) and cooperate in any investigation if requested. KIMEP University will not tolerate retaliation against any person who makes a good faith report or participates in an investigation of suspected violations.

12. Dealing with Government Officials. While this policy on business transactions applies to both the public and private sectors, dealing with public officials poses a particularly high risk related to bribery and corruption. All members of the KIMEP community should be especially cautious when dealing with public employees, including faculty and staff at public universities and workers at state-owned enterprises. Local laws often severely limit what a public employee may receive and there can be greater legal liability for giving inappropriate advantages to a public employee. For further information regarding this policy, contact the immediate line supervisor or Academic Affairs. Known or suspected violations of this policy must be reported to the VPAA.

13. Business Travel, Research Expenses, and Academic Competitions. KIMEP University business travel is an employee trip authorized by an immediate supervisor and approved as appropriate for a specific period and for performing their duties out of their permanent working place, and/or for professional development and training or enrichment purposes. This expense must be approved to fit within the current operating budget of the department covering the expense and must be connected to the work being accomplished by the department which it represents. The business trip, in other words, cannot be supported from a department budget if there is no connection to that department. In addition, the departure of the employee from work is only supported if it is connected to the required work of the University and specifically to the work of the office they represent.

13a. General Business Travel. When an operational need arises, the Vice-President overseeing such department shall approve the proposal for the business trip that includes the following:

- a. A cover letter that explains:
 - i. the goals and objectives of the business trip (in case of professional development, training or enrichment, how necessary and applicable is the proposed training for the department and/or for KIMEP as a whole);
 - ii. the duration of the business trip;
 - iii. the expense budget including travel tickets (e.g., plane, train, bus), hotel, taxi, per diem, visa if needed. No expenses will be reimbursed if not approved and ordered in advance.
- b. Business trip request;
- c. Payment Request Form;
- d. Leave of Absence form completed. (For faculty, there must be an attached schedule of make-up classes or classes with substitute instructor.)

The amount allowed for the expense budget depends on the number of days for the business trip. (In the KIMEP Intranet Budgeting and Planning section there is a Per Diem Calculator which automatically calculates the cost for hotel per diem for the faculty or staff member's position).

When a KIMEP faculty member is sent on a business trip, they must submit a completed LOA to the Chair. Approval of a LOA is not automatic. If, after consultation with Chairs or program managers, the Dean believes that the requested leave will interfere with students' academic progress, the Dean will deny the LOA request.

The Chair and Dean shall review and, if approved, submit the LOA form to HR at least 10 business days prior to the intended date of departure. The information shall include destination, name of the organization, duration and purpose of the business trip. All faculty and/or staff members, through their supervisors, must provide this information to HR to obtain the necessary Order authorizing the requested time away from work. No such Order can be produced retroactively.

The Order for funding of all travel is authorized by the President and the VPF for any faculty or staff member who travels on university business.

The duration of a business trip shall be determined based on the following information:

- a. Order on Business Trip;
- b. Number of days for business trip based on date of departure and date of return, inclusive, as specified in travel documents.

Per diem is determined based on a reasonable calculation of the number of days away between the time of departure and time of return, inclusive.

In case of delayed arrival or departure, the travelling faculty or staff member shall provide receipts and other clarifying documents from travel carriers certifying such delays, together with a report.

If a faculty or staff member returns from a business trip before the business day ends, they shall resume their duties on the next business day.

Per diem, accommodation and other expenses will be issued to a travelling faculty or staff member according to the scheme below:

- a. For every day of business trip within Kazakhstan, per diem shall be defined in accordance with standard amounts. Per diem covers expenses for meal, transportation and mobile phone expenses. Expenses for transfers to and from airport / air terminal / railroad station are additional expenses and are not included in per diem, and are compensated only if a certifying document is available.
- b. A travelling faculty or staff member will be issued an advance (through bank transfer) to cover accommodation expenses in the following cases:
- c. At hotel check-out, a Tax-Invoice (Schot-faktura) and Act of Services Completion are issued by the hotel in Kazakhstan. The hotel shall be selected in strict compliance with the accommodation cost limits stipulated in Annex No. 1 within Kazakhstan. If a faculty or staff member travels outside Kazakhstan, accommodation class indicated in the hotel's bill shall comply with Annex No 2 (check with the Accounting Office).
- d. Tax-Invoice (Schot-faktura) and Act of Services Completion shall also be provided if a travelling faculty or staff member rents an apartment from a person registered as an individual entrepreneur (IE). Additionally, the traveling faculty or staff member must provide copies of ID, IE certificate or patent, and original copy of fiscal check if a cash machine is available or an original copy of a manually written receipt if a cash machine is unavailable.
- e. A travelling faculty or staff member will be issued an advance through bank transfer to cover round-trip travel expenses to the destination point directly and direct return, unless KIMEP Administration provides a corresponding means of transportation. Upon return, the faculty or staff member shall present all travel documents, including two-way e-tickets and two-way boarding passes for air travel.
- f. A travelling faculty or staff member shall either be reimbursed upon return, or issued an advance through bank transfer for the cost of tickets and hotels, if documents certifying such expenses are available.
- g. Under a separate Order when travelling in international locations (in line with approved budget), a faculty or staff member may either receive an advance through bank transfer or be reimbursed for mobile phone expenses which were over and above the per diem expenses unless another employment arrangement is in place which defines a stipend arrangement for mobile phone support, provided there is a clear indication of extraordinary need. However, faculty or staff members are expected to cover general mobile costs within their per diem, as only excessive requirements will be considered for reimbursement or coverage. Documentation of this extraordinary need must be provided.

A complete set of documents for approval of any advance payment request for business trip expenses must be completed and submitted to the Accounting Department at least 7 days prior to the intended date of departure. Payment shall be transferred to the faculty or staff member's salary card at least 3 business days prior to their departure.

Upon the conclusion of a business trip, the travelling faculty or staff member shall submit to the Accounting Department a completed Business Trip Expense Report with all supporting documents in completed form and attached, including Order for Business Trip, Travel Order Certificate and other documents, within 5 business days of return.

A subsequent business trip advance will be issued only if there are no outstanding debts owed by the faculty or staff member from previous business trips, unless the subsequent business trip is planned to occur less than 10 days after the previous business trip. In such a case, the faculty or staff member must submit a consolidated Business Trip Expense Report within five days of returning from the last business trip.

13b. University Senior Executive Business Travel

The purposes of this policy include: 1) executive travelers to comply with laws, regulations, and University policies and procedures for business travel, including travel sponsored by external agencies; 2) travel management controls to operate properly, including oversight by the president of KIMEP University; and 3) travel is for authorized purposes and for reasonable amounts.

KIMEP University Faculty Code of Practice

Senior Executives are persons supervised by the President of the University and members of the President's Cabinet, to include: Deans, Vice-Presidents, and the provost.

Senior Executive travel is normally limited to 20 days (based on the date of departure to the destination and the date of return to Almaty as specified in travel documents) per academic year. (Exceptions can be made for conference travel or academic mobility agreements.)

When a University unit or college need or benefit arises for a Senior Executive to travel, the President shall review for possible approval a proposal for the business trip at least one month in advance of the proposed travel dates that includes the following:

1. A memo/proposal that explains the following:
 - a. The goals and objectives¹ of the business trip (in case of professional development and training or enrichment, the Senior Executive shall consider how necessary and applicable the proposed training for KIMEP as a whole);
 - b. Consideration of alternative means of achieving the objectives for the trip;
 - c. Consideration of whether the proposed business traveler is the most suitable person in terms of 1) area of academic or professional competence and/or 2) domain of managerial responsibility for achieving the objectives of the trip;
 - d. Tentative itinerary that indicates the schedule of activities and how these activities advance the objectives, purposes or outcomes of the trip;
 - e. Duration of the proposed business trip.²
 - f. Expense budget³ including travel tickets (plane, train, bus), hotel, taxi airport to hotel and back, per diem, visa if needed. No expenses will be reimbursed if not approved in advance of the trip;
 - g. Designated person(s) to cover daily operations in the absence of the senior executive.
2. A completed Business Trip Request Form (President's signature required);
3. A completed Payment Request Form (follow approved authorization process); and
4. A completed LOA⁴ (President's signature required).

¹ In case the Senior Executive desires to participate in a teaching, research, or academic mobility project that will require travel and time away from the University, the Senior Executive should prepare and submit a proposal that includes explanations of the same items outlined above. In Such cases, the Senior Executive will propose the source of funds for paying for the teaching, research, or academic mobility project travel.

In case the Senior Executive desires to present a paper at an academic conference, the Senior Executive should prepare and submit a proposal that includes an explanation of all items above excluding items 1b and 1c. If the Senior Executive will use college level research funds to help pay for the conference travel, the Senior Executive's travel will be reviewed by the college research committee and appropriate funds allocated in proportion to other faculty requests.

In case the Senior Executive travel will be funded by an external sponsoring organization, the Senior Executive should prepare and submit a proposal that includes an explanation of all items above excluding 1b and 1c.

² The duration of a business trip shall be defined based on the following information:

- Order on Business Trip; and
- Number of days for the business trip, based on the date of departure to the destination of the business trip and date of return specified in travel documents.

³ The amount allowed for the expense budget depends on the number of days for the business trip. In KIMEP Intranet's Budgeting and Planning Tool there is a Per Diem calculator, which automatically calculates the cost for hotel, per diem for the employee's position. Per diem is defined based on a reasonable calculation of time of departure and time of return along with days away from the University campus.

⁴ A completed and approved LOA form is required for traveling for KIMEP University business travel so that the employee may receive per diem allowances and travel expenses. The LOA form should be submitted to HR after the approval by the President, at least 10 business days prior to the intended date of departure to issue an Order on the upcoming business trip. Every employee, through their supervisor, must provide this information to HR because a specific Order is produced to authorize this time away

In case of delayed arrival or departure, the travelling Senior Executive shall provide receipts and other clarifying documents from travel carriers certifying such delays, together with a report.

If a Senior Executive returns from a business trip before the business day ends, they shall resume their duties on the next working day.

Sponsored travel occurs when a University Senior Executive accepts financial support from an external source to fund travel expenses. Sponsoring organizations will either directly pay for, or reimburse, the University for all or partial travel expenses. Prior approval from the President is required for trips sponsored by for-profit organizations and foreign governments.

Senior Executives cannot receive compensation time for business travel on weekends or holidays.

Per diem, accommodation and other expenses will be issued to a travelling Senior Executive according to the scheme below:

1. For every day of business trip, per diem shall be defined in accordance with standard amounts. Per diem covers expenses for meal, transportation and mobile phone expenses. Expenses for transfers to and from airport / air terminal / railroad station are additional expenses and are not included in per diem, and are compensated only if a certifying document is available.
2. A travelling Senior Executive will be issued an advance (through bank transfer) to cover accommodation expenses in the following cases:
 - a. At hotel check-out, a Tax-Invoice (Schot-faktura) and Act of Services Completion are issued by the hotel in Kazakhstan. The hotel shall be selected in strict compliance with the accommodation cost limits stipulated in Annex No. 1 within Kazakhstan. If a faculty or staff member travels outside Kazakhstan, accommodation class indicated in the hotel's bill shall comply with Annex No 2 (check with the Accounting Office).
 - b. Tax-Invoice (Schot-faktura) and Act of Services Completion shall also be provided if a travelling faculty or staff member rents an apartment from a person registered as an individual entrepreneur (IE). Additionally, the traveling Senior Executive must provide copies of ID, IE certificate or patent, and original copy of fiscal check if a cash machine is available or an original copy of a manually written receipt if a cash machine is unavailable.
3. A traveling Senior Executive will be issued an advance through bank transfer to cover round-trip travel expenses to the destination point directly and direct return, unless KIMEP Administration provides a corresponding means of transportation. Upon return, the Senior Executive shall present all travel documents if they used railroad or highway. If they used an airline, two-way e-tickets and two-way boarding passes for air travel shall be presented.
4. A traveling Senior Executive shall either be reimbursed upon return, or issued an advance through bank transfer for the cost of tickets and hotels, if documents certifying such expenses are available.
5. Issue of advance through bank transfer for covering business trip expenses shall be approved appropriately. A complete set of documents for approval of payment request on business trip expenses shall be completed and submitted to the Accounting Department at least 7 days prior to intended date of departure. Cash shall be transferred to the Senior Executive's salary card at least 3 business days prior to their departure.
6. Upon the end of a business trip, the traveling Senior Executive shall submit to the Accounting Department a Business Trip Expense Report with supporting documents attached, including Order for Business Trip, Travel Order Certificate, and other documents within 5 business days after return. Documents must be complete.
7. The next business trip advance will be issued only if there are no outstanding debts for previous business trips, unless the next business trip is planned to happen less than 10 days after the last business trip. In the

from work and it is executed in advance of any departure from KIMEP. No Order for authorized time away can be produced retroactively.

The Order for funding of all travel is authorized by the President and the Vice-President Finance for any employee who travels for University business. The Order prompts approval for allowable days away from work as well as providing institutional support if authorized.

second case, the Senior Executive shall submit a Business Trip Expense Report within 5 days after the last business trip.

The Senior Executive shall submit a Post Travel Review to the President within 72 hours after the traveler returns to KIMEP University. In cases of travel solely for conference paper presentation or for sponsored travel for guest lecturer/research/academic mobility, the Post Travel Review is not necessary. The Post Travel Review shall include the following information:

1. Traveler's name;
2. Dates of travel, places and people visited;
3. Description of the actual activities of the trip in comparison with the planned activities of the trip;
4. Overview of the objectives and outcomes for the travel and how the objectives and outcomes were addressed during the actual activities of the trip;
5. Concluding comments about the value of the trip for KIMEP University and recommendations for follow up steps to realize the objectives of the trip; and
6. Any additional information about the trip.

13c. Dining and Other Support for purchasing of food and paying for lunches for the students of the Executive Education Center, Executive MBA and Leadership Program must be submitted by the first and 15th of the month in order for processing by the 10th and the 25th of that month. All requests for entertainment expenses must be authorized in advance. For the expense report to be complete, the following supporting documents must be submitted:

1. Food for coffee breaks: Tax-invoice (Schot-faktura) and waybill on goods delivery. Food expenses amount should correspond to the total number of students within a month, based on a normative calculation of person-days.
2. Lunches: restaurant bill (menu), Tax-invoice (Schot-faktura), Act of accomplished works and the list of registered students (by days).

13d. Guests/Consultants of the University who will be provided business expense support are those authorized through an executed service contract. To be approved for budget support, the contract must be approved by (1) the Director or Dean of the relevant department or college, (2) the Legal Department, (3) the VPAA, (4) the VPF, and (5) the provost for a specific period and to cover specific and determined service support. All Service Contracts are required to be executed in advance and may not be executed after the visit of the guest consultant. All documentation must be submitted at least 10 days in advance in order to allow for authorizations and stipend payments to be processed.

13e. Allowed Off-Campus Expenses and Tax Deductions. The list below shows allowed off-campus expenses and their taxation consequences (Kazakhstan Personal Income Tax):

1. KIMEP provided medical insurance – taxes are deducted by KIMEP
2. Transportation costs reimbursement for new hires - taxes are deducted by KIMEP
3. Embassy fee for obtaining faculty or staff visa – taxes are deducted by KIMEP
4. AIDS exam costs for faculty or staff member and spouse – taxes are deducted by KIMEP
5. Educational discounts for faculty or staff members - taxes are deducted from faculty or staff member's income
6. Corporate cards expenses – taxes are deducted by KIMEP or from faculty or staff income by decision of the VPF
7. Taxi expenses without documents – if KIMEP reimburses these expenses to the faculty or staff member, then taxes are deducted from their income
8. Other expenses without documents – if KIMEP reimburses these expenses to faculty or staff member, then taxes are deducted from their income.

13f. Academic Research Funds for faculty must be applied for through the relevant academic unit and, if approved, authorized for payment by the Office of the VPF. While KIMEP would like to support all research endeavors, the budget is necessarily limited by the priorities set for research funds allocation. Therefore, faculty members should be prepared to pay for some of the cost of conference participation.

Conference funds are available only for presenting accepted papers, invited talks, posters and so forth. No funds are available for simply attending a conference.

Each college has an approved budget for research activities, sponsored by Academic Affairs. Obtaining funds for conference participation shall adhere to the following process:

1. Deans will inform faculty members through the college research directors about an approved budget for conference participation.
2. Each college research director will chair a college research committee composed of two faculty members from each department.
3. Each college research committee will meet to decide how much funding can be distributed for conference presentations, based on the approved budget from the research fund of the Academic Affairs Office.
4. Conference presentation funding will be used only for registration, accommodations and travel. No other kinds of purchases are eligible.
5. Faculty applications for conference funding must include the following documents: a) a copy of the article abstract accepted by the conference for presentation, b) an acceptance letter from the conference organizers, c) a list of the expected costs for registration, accommodations and travel, d) a copy of the relevant section of the conference program showing the faculty member's presentation, and e) a completed LOA form signed by the faculty member. Incomplete applications will be returned to the faculty member for updating.
6. After research committee approval, a payment request must be prepared by the college administrative staff and given to the Accounting Office. The faculty member is required to pay the costs of the conference participation and will then be reimbursed by the approved funds.

13g. Costs for Research Projects

If a grant/project budget allows for indirect costs, then up to 15% of the overhead on all indirect costs may be paid to KIMEP to support grant/project activities such as existing university facilities and equipment costs, communications expenses, administrative support and other on-going expenses to support the grant/project. This percentage may be revised by KIMEP University as required to support its operations.

Direct research project costs are not charged an overhead cost rate. These direct costs include, but are not limited to, the following: salaries, fringe benefits, travel, consultant fees, per diem, travel, research assistants, interns, books, data, software, computers, other supplies or sub-grants to other organizations. Salaries or consultant fees paid to KIMEP faculty (whether full or part-time) must be reviewed with the line supervisor or Dean in order to prevent conflicts of interest or commitment. If project/grant activities require a faculty member to request a reduction in teaching load, project funds will be needed for buying out faculty teaching load.

Through negotiation with the provost, the indirect cost rate may be reduced:

- To reflect reduced overhead required to manage adequately a grant's direct costs. Actual administrative and maintenance costs do not necessarily increase in direct proportion to increased grant funds.
- To reflect grant funds which are largely sub-granted to another organization (which takes on indirect costs). Therefore, the rate could be less than the 15% indirect cost rate for the primary grantee.

KIMEP University shall be acknowledged in the project's final report for its contribution to the research project. KIMEP University shall have the right to publicize the final product for up to 3 years after project completion.

Refer to [kimep.kz > Faculty > Academic Affairs Docs > file 'FacultyResearchGuidelinesMemo.pdf'](https://www.kimep.kz/ext/faculty-admin/Documents/Academic%20Affairs%20Docs/FacultyResearchGuidelinesMemo.pdf) (<https://www.kimep.kz/ext/faculty-admin/Documents/Academic%20Affairs%20Docs/FacultyResearchGuidelinesMemo.pdf>)

13h. Review of Applications for Academic Competitions

If a faculty member applies for an academic competition, such as a State Tender for Best Teacher of the Year, the following review process is required for the application:

1. The faculty member shall prepare the application materials
2. The faculty member shall allow two weeks for Academic Affairs to prepare any University-level documents or signatures that may be required and added to the application.
3. The relevant Chair shall write a letter of support and attach it to the application.

4. The relevant College/Unit shall form a committee composed of the Dean and Chairs to review the application and to ensure it is complete and ready for further review by the AC.
5. The AC shall review the application and endorse it if appropriate.
6. The application materials will be returned to the faculty member for self-submission to the competition authorities.

Part V. Faculty Workload, Working Calendar, Absences, and Compensation

1. Faculty Workload and Workload Expectations. In general, the workload of a faculty member comprises the following major components:

- Teaching and teaching-related activities, including preparation of lectures and other course activities, marking and evaluation of student course work, continual monitoring of each student's academic progress through a series of assignments/quizzes/exams/activities, submission of student grades, preparation and distribution/electronic posting of approved course syllabi and related materials, course and curriculum development, proctoring, thesis and internship supervision, observation of colleagues' teaching and student mentoring.
- Research (including professional development), writing for publication and thesis supervision, conference paper preparation and presentation. Faculty members should meet MES requirements for thesis/dissertation supervision
- Service to the department, college, university and other communities, including assignment by Chairs and Deans to take part in committee and academic administrative work other than teaching and research. Service also includes voluntary service on committees whose membership is elected, such as ac and other occasional service for ad-hoc task forces, working groups and investigative committees as well as consulting service.

The University operates on a 6-day working week from Monday to Saturday. Faculty members are expected to be available for a 6-day workweek, with normal office hours arranged between 09.00 -18.00 Monday to Saturday. For example, class times may be scheduled between 08.30 and 21.45 Monday to Friday and between 09.00 and 18.00 on Saturdays. (EMBA has a different schedule that includes Sundays.) The workload should not exceed 40 hours per week. Any overtime requires preapproval from the Chair, Dean and VPAA. Teaching and required office hours are stipulated, but outside of these periods, faculty may organize their working schedules subject to making themselves available for departmental, college and university meetings.

Full-time faculty are required to teach a specific number of credit hours less any teaching remissions for administrative responsibilities agreed to by the relevant Chair, Dean, VPAA and President's Cabinet. All full-time faculty members are expected to teach 8 3-credit courses (24 credit hours equivalent) per academic year (one academic year = two semesters: Fall semester and Spring semester). Faculty members are expected to complete their teaching workload during the two main semesters (Fall and Spring). In exceptional cases, faculty may be required to make up teaching underloads in the Summer or following academic year.

Each semester, the Chair (if no departments in the college, then the Dean) prepares and keeps in the department (Dean's) office the course teaching schedule and minimum number of office hours each week for each teacher. In addition, the Chair and faculty member should annually create an agreement describing particular goals and action steps for teaching, research and service (see faculty workload components above) for the faculty member with an eye towards department criteria for retention or promotion. Any changes to the faculty member's schedule should be written and signed in an additional agreement.

All faculty members are required to post the following information on or next to their office door:

- Teaching schedule
- Schedule for student support
- Schedule for student advising.
- Office hours (at least two hours per course per week for full-time instructors; the office hour schedule should be distributed at different times across the weekdays so that students will have more than one opportunity to contact the instructor)

- Authorized absences

All faculty members are required to provide information and documentation as requested by KIMEP administration to achieve university goals, ensure the smooth running of the educational process and fulfill state requirements. This includes keeping their faculty profile up to date and posting information online, specifically on their L-drive and Moodle course sites, stating their contact information (work phone number, email address, WhatsApp number if such is used with the agreement of students, etc.), office hours, class meeting times, and whom to contact in the event of a technical problem.

All current syllabuses must be on the L-drive as well as the Moodle course page.

1a. Teaching Load Requirements for Administrators and Teaching Remissions. The following course remissions apply to BCB, CSS, CHE and SL teaching allocations. All full-time faculty members are expected to teach 8 3-credit courses per academic year. Teaching remissions must have President's Cabinet approval. For the following administrative positions, the following teaching remissions apply:

- i. VPAA and Deans — 1-course teaching load per academic year — Fall and Spring semesters (the Dean is considered to hold an academic position and teaching load is an obligatory condition according to current MES guidelines).
- ii. Associate Deans and Deputy Directors — 4-course teaching load per academic year — Fall and Spring semesters.
- iii. Chairs — 4-course teaching load per academic year — Fall and Spring semesters.
- iv. Center Directors, Research and Legal Clinic Directors — 6-course teaching load per academic year; Research Directors and Legal Clinic Director — Fall and Spring semesters. Requests for exceptional teaching remission for Center Directors must be approved by President's Cabinet.
- v. A research reduction of one course teaching load may be granted to a faculty member upon submission of a timely and proper request. The request should be approved by the research committee of the college and the institution. The request must include a description of the anticipated outcomes (e.g., publication submission). This is limited to one per college per semester. No one may receive two consecutive research reductions under this category. This teaching load reduction is limited to one faculty member per semester per college.
- vi. All full-time faculty members are expected to teach the equivalent of eight 3-credit courses annually (4+4, 24 credits), with the exception that in the faculty member's initial semester at KIMEP, they need teach only the equivalent of six 3-credit courses (3+3, 18 credits).

Faculty must update their CV on the KIMEP website annually.

1b. Fall-Spring-Summer Semester Minimum Class Sizes. Minimum class sizes are as follows (these minimum class sizes are the 'break even'):

- Undergraduate and graduate Language Foundation and Academic English courses-15 students
- Undergraduate single section courses-15 students. Undergraduate multiple section courses-20 students
- Graduate single section courses-10 students. Graduate multiple section courses-15 students
- Class sizes of 5-14 undergraduate students will be considered as low-enrolled courses for purposes of teaching overload compensation
- Class sizes of 5-9 graduate students will be considered as low-enrolled courses for purposes of teaching overload compensation

1c. Offering Independent Studies Based on Student Request. Independent study (IS) classes are defined as 1-4 students in size and are compensated on a per student basis, only if the IS represents a teaching overload for the relevant faculty member. Adjunct or part-time faculty members are not allowed to teach Independent Study courses. Deans, with permission, may request former full-time faculty who have become part-time faculty to teach Independent Study courses. Exceptions are allowed for the Executive MBA and similar academic programs. Overload teaching for senior lecturers and professorial faculty is defined as teaching more than 12 academic hours per semester. Requests for overload teaching must be approved by the Chair, Dean and VPAA. If not considered as an overload, the IS will be counted as 0.5 credit hours towards fulfilling regular teaching load requirements.

The process for completing an independent study is as follows:

1. If the proposed IS course is required for a student to graduate and the affected students are in their last year, either in their last semester before graduation, or the students are nearing graduation and cannot be accommodated in the class the following semester without disrupting their path to degree completion, then accept the IS course or alternative courses that fit the affected students' schedules.
2. A faculty member with expertise in the subject area (preferably a faculty member who has previously taught the course) agrees to supervise the IS.
3. The faculty member submits a course syllabus detailing the learning objectives, reading assignments, student-faculty contact schedule, and methods of assessment.
4. The Dean notifies the Registrar's Office in writing of the approval of the IS. The form for IS is available on the Registrar's website.
5. The student registers for the course as IS and pays the regular tuition fee.
6. At the end of the semester the faculty supervisor submits all documents verifying completion of the IS along with the grade for the course.

1d. Offering and Canceling Low-Enrolled Courses. If a college has a low-enrolled course, the Dean in consultation with the VPAA must decide whether to continue to offer the course or to cancel the course. The following guidelines are offered for determining whether to allow a low-enrolled course to proceed as scheduled:

- If the low-enrolled course is required for graduation and the affected students are nearing graduation but not in their last semester before graduation, the Dean should offer the low-enrolled course the following semester to ensure that the students can be accommodated in the class the following semester.
- If the low-enrolled course is required for graduation and the affected students are in their last semester before graduation, or the students are nearing graduation and cannot be accommodated in the class the following semester without disrupting their path to degree completion, the Dean may accept the low-enrolled course. If there is an alternative course suitable for substitution, the Dean may opt for that.
- If the low-enrolled course is a prerequisite for other required courses, the Dean should accept the low-enrolled course or alternative courses as the prerequisite. If the courses are prerequisite to courses in other departments, the other colleges/department(s) should be notified as soon as the action is taken and the Deans should work collaboratively with the other colleges/departments to the extent possible to identify acceptable alternatives.
- The Dean should use a reasonable time frame to determine when to cancel a class. The student should have enough notice of class cancellation in order to register for other classes without financial loss.
- If the low-enrolled class is cancelled, students and academic advisers should be notified as soon as possible.
- Note that there will be exceptions to cancelling classes with low enrollment, such as IS, internships and thesis supervision, and colleges should work with departments to adjust faculty load for these courses so faculty members are treated equitably across the departments.
- For adjunct faculty, accommodations in cases of cancelled courses may be similar to those for full-time faculty. Adjunct faculty members must be made aware of the enrollment minimum policy and receive reasonable notice if any of their courses are to be cancelled.
- All affected students should be accommodated, but colleges and departments must pay special attention to seniors preparing to graduate, international students, students receiving scholarships or other financial aid, students who need special accommodations for disabilities and might have chosen a class on this basis, and students who require full-time enrollment or who have specific minimum credit hour requirements.
- Colleges and departments must also take into account the effect of low-enrollment cancellations on faculty. Especially for new or specialized elective courses, or courses that have historically had low enrollment, departments should have back-up plans for changing assignments, and such plans should be made known in advance to instructors who might be affected.

There will be instances in which cancelling a class because of insufficient enrollment is the most sensible course of action. Questions about these guidelines should be directed to Academic Affairs.

1e. Teaching Loads and Overloads, Teaching Load Calculation and Compensation.

Teaching overloads are requested when additional courses need to be taught to maintain students' academic progress through their degree programs. Teaching overload payments are usually prohibited for Chairs and other administrative

managers and research directors, program directors and coordinators. Exceptions to these limitations must be approved in advance by the Dean and the VPAA.

Compensation for overloads and summer school teaching vary over time and, of course, with the number of credits. Please consult the Dean of the college for current compensations.

Overload teaching for senior lecturers and faculty is defined as teaching more than 12 academic hours in a semester. Requests for overload teaching must be approved by the Chair, Dean and VPAA. Teaching an overload course for payment will not count as part of one's regular teaching load. Overload teaching cannot exceed the maximum 40-hour work week, which is inclusive of the minimum number of hours required for student instruction, office and advising hours.

The lowest-enrolled course will be designated the overload course for purposes of compensation. As an example, a faculty member teaching an approved overload schedule of four courses of 25 students each plus one course of 8 students would receive an overload payment for the course with 8 students.

Calculations of teaching load (expected eight (8) 3-credit hour courses per academic year of Fall and Spring semesters) are based upon the number of academic credit hours allocated to a course, although certain exceptions may apply (for example, a 3-credit IS for a student is only considered 0.5 credit teaching load). This definition ("academic credit") excludes courses not for credit but includes zero-credit courses. e.g., foundation language courses, as they are regularly scheduled and consume university resources in a manner similar to credit courses, provided they are required or prerequisite for degree programs. Specific situations affecting teaching load calculations include:

- Calculations of teaching load for two groups of students occurring in the same location or classroom at the same place and time (e.g., undergraduate and graduate course sections in the same classroom on the same day and same time) according to the Registrar's schedule will be counted as one course per semester.
- Calculations of teaching load for low-enrolled courses (not including IS) will combine the numbers of enrolled students in the low-enrolled courses to reach minimum class size and be counted as one course for purposes of teaching load per semester.
- Each approved IS will be counted as 0.5 credit hours towards fulfilling regular teaching load requirements per semester.

Faculty members are limited to one overload course per academic year (Fall and Spring semesters). This limit can be waived in situations where too few faculty members are available to teach required courses.

In offering low-enrolled courses, priority is given to a) courses necessary for students graduating the following semester and b) to prerequisite courses.

The recommended rates of compensation for all faculty academic ranks to be taught on overload basis are distributed to Deans. If two faculty members co-teach an overload course, they split the overload payment. The overload teaching rates are based on one-credit course. Courses with other credit loads may be pro-rated. Please consult the Dean for the correct amounts.

1f. Compensation for Summer Teaching. Faculty members who have fulfilled their expected teaching load during the Fall and Spring semesters are paid additionally for summer teaching upon completion of the Summer I and/or summer II semester, the submission of final grades to the Registrar, and the signing of Acts of Work Acceptance in Human Resources. Faculty members who wish to teach during Summer are expected to teach only Summer 1 or Summer 2 and take any remaining time as vacation days (up to 56 days of vacation). Exceptions may be made on a case-by-case basis, taking into account the course needs of students, and must be approved by the Chair, Dean and VPAA.

1g. Supervising Undergraduate and Graduate Theses. See approved compensation rates distributed to Deans. Faculty members are expected to supervise undergraduate student theses for students enrolled in degree programs at KIMEP University.

Chairs are responsible for overseeing the equitable allocation of faculty for undergraduate thesis supervision duties. Colleges have two options for arranging undergraduate thesis supervision:

1. Thesis supervision will be compensated when the student presents and defends their thesis. Since faculty members are compensated monetarily, supervising undergraduate theses neither adds to nor subtracts from faculty teaching load calculations.
2. Thesis supervision may be arranged as semester-long course(s). Class size should be as close to 15 students as possible. Calculations of teaching load for low-enrolled thesis supervision courses will combine the numbers of enrolled students in the low-enrolled thesis courses to reach minimum class size and be counted as one thesis course for purposes of teaching load per semester. This option may not be used if the thesis supervision represents a teaching overload.

1h. Comprehensive Exam Preparation. These courses are variously identified on the Registrar course schedule as, for example, “Comprehensive Exam Masters Preparation: Journalism” and “Comprehensive Exam Bachelors Preparation: Finance.” According to GOSO standards, the comprehensive exam is usually = 1 credit. Therefore, preparation of students for taking the comprehensive exam as a 1-credit teaching load.

- The teaching load will be assigned to a faculty member who will coordinate the comprehensive exam preparation (either for graduate or for undergraduate students, but not both) for the relevant degree program for one semester.
- Priority is given to underloaded faculty (to lecturers and senior lecturers) for comprehensive exam preparation.
- If counted as teaching load overload, the comprehensive exam preparation teaching load is paid on a pro rata basis of the recommended compensation rates for overload teaching.
- The suggested format for undergraduate comprehensive exam preparation is two meetings per week for 3 academic hours per week for five weeks. The suggested format for graduate comprehensive exam preparation is two meetings, preferably in a single week. In each instance, whether undergraduate or graduate, comprehensive exam preparation should occur near the beginning of the semester in which the exam is scheduled to be taken.

Degree programs shall have two coordinators: one for graduate students and one for undergraduate students if necessary. Suggested times for graduate comprehensive preparations are: June-July and January-February. At least one month must pass between the completion of the comprehensive exam and the thesis defense for graduate students. Suggested times for undergraduate comprehensive exam preparations are: January-February (in order to take the exam at end of February). Thesis 1 should be taken before the comprehensive exam, and Thesis 2 should be taken concurrently with the comprehensive exam. Before advising a student to take a comprehensive exam, all thesis requirements should be completed so that only the defense remains. Thesis 3 should be blocked until after the comprehensive exam is successfully passed.

The degree program's faculty members decide which format(s) will be used for the comprehensive exam. They also decide which courses and student learning outcomes will be evaluated by the comprehensive exam (three or four courses are suggested for inclusion in a comprehensive exam). The purpose of the comprehensive exam is to evaluate whether students are achieving particular study program learning outcomes. The thesis paper can be used to evaluate whether students are achieving other degree program learning outcomes.

The faculty member(s) coordinating the exam preparations are expected to complete the following responsibilities (where faculty members other than the coordinating one participate in conducting the exams), they must:

- Coordinate and distribute the gathering of topics from degree program faculty for students to review.
- Coordinate and distribute a list of reading materials advised by degree program faculty for students to review.
- Observe periodic office hours that will be most effective for responding to individual students' questions related to comprehensive exam preparation (where faculty members other than the coordinating one participate in conducting the exams, they must hold appropriate office hours as well).
- Coordinate the composing of questions/items for the comprehensive exam from degree program faculty and maintain security of the exam items.

2. Academic Calendar and Mandatory Attendance at KIMEP Graduation. KIMEP's academic year runs from the first day of Fall classes in August to August 15 of the next calendar year. It is divided into three semesters: Fall (August-December), Spring (January-May), and Summer (June-August). The duration of the Fall and Spring Semesters is approximately 15 teaching weeks, including the possibility of one additional week of mid-semester break or reading week. The Summer semester is divided into two periods: Summer 1 and Summer 2.

All faculty members are required to attend KIMEP's annual graduation ceremony. Exceptions are for faculty whose absence is approved by the relevant Chair, Dean and VPAA. Faculty members absent from graduation without approval must provide a written explanation to their Chair and Dean and may receive disciplinary reprimands.

All faculty members are expected to return from summer break no later than 2 weeks before the 1st day of classes. Deans are expected to be back no later than 3 weeks before the first day of classes. Exceptions, albeit rare, are on a case-by-case basis, with final approval from the VPAA.

3. Holidays and Mid-Semester Breaks. KIMEP follows the Labor Laws of Kazakhstan and observes all national holidays. Classes missed due to public holidays need not be made up. However, the government may decide to shuffle days of holiday, which would require classes to be made up. Additionally, those faculty members on service contracts provide a set number of contact hours may provide make up classes.

The academic calendar provides for up to twelve state holidays including:

- New Year's Day (January 1-2)
- International Women's Day (March 8)
- Nauryz Meiramy (March 21-23)
- International Labor Day/People's Unity Day (May 1)
- Defenders of the Fatherland Day (May 7)
- Victory Day (May 9)
- Capital Day (July 6)
- Constitution Day (August 30)
- President's Day (December 1)
- Independence Day (December 16-17)

Also, there are the following official public holidays:

- Kurban Ait -- Eid al-Adha (date varies from year to year)
- Orthodox Christmas (January 7)

The academic calendar may be adjusted to provide for up to one week of no classes during October and March, depending upon changes in the yearly academic calendar. These are intended to provide "catch up time" for personal study, course preparation and assignment marking, curricula development, student consultations and scholarship. Faculty members are paid their regular salary during these week-long mid-semester breaks. Faculty members with unused vacation days from previous years may be requested to use up to 5 days' vacation payment for each week of mid-semester break. Faculty members who are not using vacation payment may be requested to be in their offices to support student advising, engage in research and participate in university and college committee obligations.

4. New Year Break. The period between the submission of final semester grades and three days before the commencement of the Spring semester (e.g., December 24 – January 6) is a paid break. Faculty members and instructors are not required to be in their offices or to undertake any KIMEP duties during this period. Faculty members and instructors wishing to travel internationally during the New Year Break must fill out a Leave of absence (LOA) form giving departure dates and contact information at their destination. This form must be submitted to the Dean for approval, signed by the VPAA, who will also approve it, and forwarded for formal record keeping to HR.

The faculty member must notify the Dean of their actual date of arrival and fill out a confirmation of arrival form upon return to KIMEP University. This form shall be retained in the Dean's Office. Failure to fill out the confirmation of arrival form may result in salary payment being delayed.

5. Leave of Absence. Leave of absence (LOA) is defined as any period when a faculty or staff member is not present for an entire regular working day. All LOA must be approved by the relevant Chair, Dean and the VPAA before being sent to HR for processing. Failure to obtain proper approval before an absence may result in disciplinary action up to and including termination of one's employment contract.

Medical Certificates shall be approved by KIMEP's Medical Center doctor and submitted to the relevant Chair within one working day after the official date of leave ending as indicated on the Medical Certificate. Any absence (except for sick leave) or departure from Kazakhstan requires a completed, approved LOA form submitted to HR prior to departure.

Departure to a country other than Kazakhstan for medical reasons, whether on individual initiative or upon the recommendation of a medical provider, also requires a completed LOA form and consultation with KIMEP's medical doctor prior to departure. This requirement can be waived by the VPAA in extreme emergency situations and, in extreme situations, the waiver from the VPAA can be granted after the fact. Extreme emergency situations are defined as a sudden death in the family, unforeseen illness/accident, or an act of natural or man-made catastrophe. Upon return to KIMEP University, the faculty member must notify the Dean of their actual date of arrival, and fill out a confirmation of arrival form. This form shall be retained in the Dean's Office. Failure to fill out the confirmation of arrival form may result in pay being withheld for days when the faculty member is required to be on campus and resume normal duties. Before LOA are granted, the VPAA may require tangible evidence of such a request.

5a. Early Departures and Late Arrivals. Faculty members wishing to extend a break period by early departure or late arrival, whether planned or because of unexpected circumstances, must notify their Dean and receive written approval therefrom. If classes will be missed, the faculty member must receive written approval from the Dean about appropriate arrangements for substitute faculty to meet the classes or to make-up the classes at a later date. TA's may NOT substitute for faculty missing classes. In the case of late arrival because of unforeseen circumstances, the faculty member must write a letter of explanation to the Dean including all documents (medical certificates, flight itineraries and transportation boarding passes/tickets/receipts) to justify her/his absence.

5b. Student Study Plans During Leave. All faculty members are expected to make arrangements for their students to continue their studies in the event of faculty absence. The MES requires 15 contact hours (class time) per academic credit. The MES regulations assume the number of contact hours per week equals the number of credits. During the Fall and Spring semesters courses are expected to occur across 15 weeks of class (excluding national holidays, break and finals period). All faculty members are required to lead and manage the delivery of teaching and supervision of students and student learning of 15 contact hours per credit. Thus, all 3 day per week classes are scheduled for 45 meetings and all 2 day per week courses are scheduled for 30 meetings, exclusive of final exams during the Fall and Spring semesters. Final exams may not be held on the last day of class as the last day is one of the scheduled contact hours (class periods).

Make-up classes (except in the situation of a faculty member requesting short-term sick leave) are to be avoided as much as possible so that students' schedules are respected. Instead, arrangements for a substitute instructor should be made and include a plan describing:

- Which colleague will substitute for the instructor during the absence, and
- What assignments, discussions, readings and so forth the substitute instructor is asked to assign.

If make-up classes are requested by the faculty member, all students enrolled in the course must be informed in writing of the proposed make-up class schedule or the arrangement for a substitute instructor (e-mail or telephone app communication is sufficient; evidence that the communication was made may be required). Faculty members should note that not all students may be able to attend a make-up class at the specific proposed date and time, so alternative date(s) and time(s) may need to be offered. Faculty should try to avoid scheduling make-up classes after the second midterm exam and before the final exam.

5c. Short-Term Leaves. During the semester short-term leaves may be granted for no more than three weeks per request to attend conferences, handle family emergencies (see above) or conduct specialized research that cannot be postponed to the semester breaks. In an emergency situation, (see above) faculty may request a longer-term leave of absence. For short-term leaves, faculty should expect to use their vacation time or unpaid leave unless there are funds available in their respective colleges to fund their conference stay. A short-term leave of absence should be requested from the Dean at least two weeks prior to the leave period except for emergencies, e.g., death of a family member, unforeseen illness/accident and a natural or man-made catastrophe, The request for the leave should specify how any missed classes are to be made up, the reason for the leave, and any documentation substantiating the requested leave (e.g., conference invitation). If any course will be affected by a short-term leave, the faculty member and Chair or Dean will arrange for a substitute faculty member to meet the students.

Faculty members returning from unpaid LOA earlier than the agreed upon term of the LOA will not be paid if they return early without the approval of their Dean.

Faculty members who are invited for short-term teaching within a semester at another institution are entitled to draw their regular salary and no vacation days are included in the request for leave. The KIMEP faculty member participating

in the short-term teaching situation shall make arrangements with colleagues to substitute teach for the absent faculty member. The Dean must approve these arrangements.

5d. Longer-Term LOAs may be granted for sabbatical study, research, etc. as unpaid leave. Such LOAs are not automatic. Normally, an extended LOA will not be granted unless the faculty member has served at least two consecutive full-time academic years at KIMEP University. Requests for extended leaves require approval at least five months before the leave begins. An example of a longer-term LOA is educational leave. LOAs for medical, family or other personal reasons cannot exceed one academic year (August to August) exception for maternity leave (see next section). Faculty members who have been granted unpaid LOAs will not be paid if they return early from their leave. Approval from the relevant Dean and VPAA is required to begin receiving salary again in the event of early return. Upon return to KIMEP University, the faculty member must notify the Dean of their actual date of arrival, and fill out a confirmation of arrival form. This form shall be retained in the Dean's Office. Failure to fill out the confirmation of arrival form may result in pay being withheld for days when the faculty member is required to be on campus and resume normal duties.

5e. Maternity Leaves are governed according to the Labor Law of Kazakhstan. Resumption of duties for foreign faculty on maternity leave may be subject to the issuance of appropriate work permits, and must be at the beginning of an academic semester. KIMEP University is not responsible if work permits are not granted. The basis for maternity leave is the issuance of a Medical Certificate which is paid for by the state. A Medical Certificate for maternity leave is applicable only to Kazakhstan citizens. Foreign faculty members can go on maternity unpaid leave based on submitted a LOA form approved by the Dean or VPAA. Upon return to KIMEP University, the faculty member must notify the Dean of their actual date of arrival, and fill out a confirmation of arrival form. This form shall be retained in the Dean's Office. Failure to fill out the confirmation of arrival form may result in pay being withheld for days when the faculty member is required to be on campus and resume normal duties.

5f. Sick Leave. All faculty members are required to contact their dean or Chair and the college manager on the same day as their Medical Certificate is opened by the attending physician or in the event, they miss class for medical reasons. The faculty member must also immediately contact students, or arrange that the college manager contact the students, in order to notify them of any class cancellation. The faculty member is expected to arrange suitable make-up class period(s) with students. If any course will be affected by more than one missed class, the faculty member or, if necessary, Chair or college Dean, will arrange for a substitute instructor or make-up classes.

Each faculty member is entitled to 100% of their salary for the duration of sick leave up to the number of sick leave days accrued by the faculty member. A full-time faculty member accrues sick leave at the rate of one day per month of service, or 12 days each academic year, with a maximum sick leave accumulation of 24 working days. If you have a question on how many sick leave days you have, you should consult the HR office. If the duration of an illness exceeds the number of accrued days, the faculty member will receive the minimum amount specified by law. KIMEP will make additional payments to the minimum number of benefits for temporary incapacity to work, thus:

A full-time faculty or staff member is entitled to a temporary incapacity to work benefit in the amount of 100 percent of average wage within days accumulated – one day for one month of work, but not more than 24 working days for the last two years.

- One day is accumulated for one full month of work;
- Those months that the faculty or staff member did not work in full are excluded from calculation;
- Any period of temporary incapacity to work that is not covered by accumulated days (100% of average wage) is paid at the rate of 15 monthly calculation indexes per month.
- Guaranteed amount of social benefit and procedure for assigning benefit is determined by the Government of Kazakhstan, and amounts to 15 monthly calculation indexes (43,000 tenge for 2020; check with Human Resources for the current rate) per month.

If the faculty member is continuously sick for more than two months (with the exception of special cases defined by the Labor Code), KIMEP has the right to terminate employment. Any absence of a faculty member for more than two consecutive months due to a temporary incapacity to work may be a ground for terminating the employment contract at KIMEP's initiative except when the faculty member is on maternity leave or has an illness included in the list of illnesses with a longer period of incapacity to work (e.g., stenocardia, heart attack, tuberculosis, complex surgeries, etc.) approved by the authorized health care agency.

The faculty member is required to present all relevant medical documents to the HR Office upon returning to work. The faculty will verify the documents with the relevant medical center. If the faculty member submits fraudulent medical documents, they will be subject to disciplinary action.

5g. Funeral Leave. Up to 7 calendar days of leave is allowed to attend the funeral of an immediate family member. In the extraordinary circumstance of a death in the family while the faculty member is on short term leave, these seven calendar days may be in addition to the short-term leave.

Members of the immediate family are defined as: father, mother, spouse, child, sister or brother. Funeral leave is reported on that section of the LOA form titled "Bereavement." Faculty or staff members should indicate their relationship to the deceased as "immediate family member" in the area designated on the form. Upon return to KIMEP University, the faculty member must notify the Dean of their actual date of arrival, and fill out a confirmation of arrival form. This form shall be retained in Dean's Office. Failure to fill out the confirmation of arrival form may result in pay being withheld for days when the faculty member is required to be on campus and resume normal duties.

5h. Paid Vacation. Faculty paid vacation is governed by Kazakhstan's Labor Law and Law on Education. All vacation LOAs must be approved by both the Dean and the VPAA before being passed on to HR for processing. Individual faculty vacation leaves at the end of the Fall and Spring semesters or summer term can be approved to begin after the faculty member has submitted all final course grades to the Chair and the Registrar and arrangements made for the appeals. The amount of vacation payment is determined by Administration and Finance Division policies. The Summer research period after the paid vacation is considered as a working period and regular salary is paid. All faculty members are eligible to receive 56 calendar days of vacation per calendar year. The 56 days of vacation should be used up in full each year, as they cannot be carried carry over into following years. Upon return to KIMEP University, the faculty member must notify the Dean of their actual date of arrival, and fill out a confirmation of arrival form. This form shall be retained in the Dean's Office. Failure to fill out the confirmation of arrival form may result in pay being withheld for days when the faculty member is required to be on campus and resume normal duties.

Summer Vacation LOAs are arranged as follows:

- Faculty not teaching in Summer I and Summer II are required to submit their LOA for the Dean's approval. Vacation LOAs should be submitted two weeks prior to the date of the annual KIMEP graduation ceremony.
- The normal start date for summer vacation for KIMEP faculty not teaching in Summer 1 is the day after the KIMEP graduation ceremony in May.
- The remaining calendar days between the end of the summer vacation period and the beginning of Fall semester classes in late August are considered as a period for research and professional development activities. These activities are considered to be part of the faculty member's annual performance evaluation. Deans may require faculty members to submit a research plan to account for this time period.
- Faculty members who are teaching Summer I or Summer II shall not take vacation days during the period of teaching. Faculty members not teaching in Summer I but teaching in Summer II shall take their vacation days between the starting date for summer vacations (see 'b' above) and the start of Summer II. Upon completion of summer teaching, faculty members with remaining vacation days shall have the use of their remaining vacation days up to the day they must return to work just prior to Fall semester classes.

5i. Other Benefits. Other benefits or allowances may be provided according to stipulations of Kazakhstan's Labor Law and/or KIMEP's policies. Such benefits or allowances must be approved by the President's Cabinet.

6. Pay Periods and Statements. All faculty and administrators will be paid on or about the last working day of the month. Pay statements will be distributed and will include an itemized statement detailing all payments and deductions.

7. Policy Supporting International Mobility among Faculty

In order to promote internationalization at KIMEP, faculty members, who are not employed on the basis of a foreign highest degree, and hold at the rank of Senior Lecturer may, and those who hold the ranks of Assistant Professor and or above must, serve as a visiting faculty member for one full semester at a university outside Kazakhstan with English as the language of instruction and offline teaching. Faculty not in this category are also encouraged to utilize the opportunity to serve as a visiting faculty abroad for a semester if funding is available.

Faculty who must serve as a visiting faculty member abroad should fulfill this obligation by the end of Spring 2026, and must be approved in advance by the Dean and VPAA. KIMEP may support faculty members with travel and related expenses if the host university does not provide a stipend. All full-time faculty who has been employed at KIMEP for no less than four years as of Spring 2022 are covered by this policy.

Faculty are encouraged to work with partner universities to identify possible positions. Those faculty members covered by this policy and who can supply documentation of a visiting professorship prior to this policy being instituted are exempt upon approval of the Dean.

Each College will maintain records of compliance.

Part VI. Faculty Rank and Appointment

1. Faculty Ranks, Line Management and Faculty Restructuring. Professorial ranks are Assistant Professor, Associate Professor and Professor, each requiring a terminal degree except in the case of an Assistant Professor by special appointment or a Professor of Practice. Instructor, lecturer, and senior lecturer appointments require a minimum of a master's degree in the appropriate subject field.

A terminal degree is considered the highest degree necessary for professorial academic appointments. For most disciplines, the terminal degree is a doctorate (PhD, EdD, DBA, JD, etc.), but for some fields – e.g., Fine Arts – a master's degree is considered terminal (MFA). The Candidate of Science degree, together with significant publications, may be accepted as enough graduate study for a professorial appointment. However, the doctoral degree for most fields is the terminal qualification and required for professorial appointments.

1a. Clinical Faculty. Clinical faculty grades are Assistant Professor of Practice, Associate Professor of Practice and Professor of Practice. Assistant rank clinical faculty must hold the least professional degree required to practice in the applicable field. Associate and full Professors of Practice must hold a terminal degree in the applicable field.

1b. Line Management: The Deans of BCB, CSS, CHE, SL and GE report to the VPAA. The organization of academic units varies but most faculty supervision is exercised at departmental level by the relevant Chair of the department.

1c. Faculty Restructuring: There may be occasions when strategic policy or budgetary stress may result in a general restructuring, including downsizing, of the faculty, in line with Kazakhstan's labor laws. A faculty member may request transfer of their department's continuing commitment in their appointment on professional or academic grounds. In considering such a transfer, those involved should take into account the programmatic interests of the faculty member, the affected departments, and the school(s) or college(s) concerned.

2. Kazakhstan Labor Law. Immigration-related procedures can be complicated and time-consuming. In Kazakhstan, foreign nationals are divided into the following two general categories:

- Foreign nationals permanently residing in Kazakhstan ("Permanent Residents"); and
- Foreign nationals temporarily staying in Kazakhstan ("Temporary Visitors").

Permanent Residents are foreign nationals who have been issued a permanent residence permit by the government of Kazakhstan. Permanent Residents who have been issued a permanent residence permit are exempted from work permit and visa requirements. They may reside and work in Kazakhstan without any visa or work permit (if working) on the same basis as the citizens of Kazakhstan. They are also covered by, and pay into, the social security and pension schemes adopted in Kazakhstan.

3. Selection on Merit. All permanent faculty and other academic staff appointments are to be made on the basis of merit and in compliance with the laws of Kazakhstan.

3a. Posting of Vacancies and Advertising. Positions available for permanent full and part-time academic appointments are posted and may be advertised. All qualified persons, including those already employed at KIMEP, are encouraged to apply. Availability of casual and temporary appointments may or may not be posted or advertised at the discretion of the relevant administrators, based on factors such as the anticipated length of the appointment and the ready availability of suitable candidates. Such casual or temporary positions may be considered as career development opportunities for current staff.

3b. Recruitment and Selection. (i) Where a selection for an academic appointment is to be made, the relevant Dean shall appoint a search committee. Such appointments should be made with due regard for academic rank and expertise, assessment of English language and teaching skills, and the like. (ii) The Dean or Dean's Delegate shall chair the committee and vote, if needed, to form a majority on any issue, to include the selection of candidate(s). (iii) Upon receiving the list of candidates and supporting documents from HR, the search committee shall be convened to develop a short list of candidates to be interviewed, and upon approval of the short list by the Dean, interviews of those shortlisted shall be held. (iv) Based on the interviews and submitted materials, the committee shall select up to four finalists, who may, upon approval of the finalists by the Dean, be invited to conduct a teaching demonstration or to be interviewed again by the Dean and/or another advisor selected by Dean. (v) Thereafter, the committee shall issue its final report and recommendations as to the candidate(s) recommended for hire and its suggestions(s) as to the appropriate academic rank(s) for each. Any committee member may submit thereto a supplemental report to express views or proposed recommendations not adopted by the full committee. (vi) The Dean shall forward the report and any supplements to the VPAA for further action with a recommendation to hire, to not hire, or to continue or recess the search.

3c. Language Qualification and Faculty Selection. All faculty should have an advanced level of written and spoken English proficiency.

4. Types of Academic Appointments and Letters of Appointment. Several types of academic appointment are possible:

1. Time-specific regular full-time appointment, in which the first employment contract at KIMEP is ordinarily for 1 year but can be with a duration of up to 2 years (especially for foreign faculty), with any extension thereof to be based on the Labor Code of RK (open-ended if both parties intend to continue employment relations).
2. Time-specific part time-appointment, usually on a semester basis, and provided under a service contract agreement.
3. Visiting appointment, usually for one semester or one year, and which may be full-time or part-time (this includes post-doctoral fellowships).
4. Special appointments should be no longer than 2 years. Any faculty with special appointment rank after 2 years should go through the promotion cycle to confirm his/her appointment of academic rank without special appointment in its title.
5. Adjunct (service contract) faculty appointment, which may be provided on a semester or annual basis but will be course-specific and not granted for more than two consecutive semesters (e.g., Fall and Spring but not Summer, or Summer and Fall but not Spring). For any academic year, adjunct faculty contracts should not equal one continuous academic year in a three-semester format (e.g., no more than 359 days in a calendar year).

Letters of appointment should contain the following information:

1. The exact title of the position
2. The amount of compensation
3. A signature line for the person accepting the appointment indicating acceptance or non-acceptance
4. Other terms and conditions related to teaching load and vacation days
5. The line supervisor to whom the person accepting the appointment will report

5. Other Appointments. Full-time KIMEP-employed faculty members may hold faculty appointments outside of KIMEP University, if and only if the teaching, research and service responsibilities are confined to the Summer or Winter break periods and are not performed in lieu of their expected teaching, research and service responsibilities for KIMEP University.

6. Contracts of Employment. The FCP complements the terms and conditions of employment contained in the contract. Persons accepting faculty or academic administrator employment must sign their acknowledgement of the FCP. Full-time faculty contracts are based on several criteria. These criteria include:

- a. The legal status of the appointee in Kazakhstan, which can depend upon citizenship and can affect issuing of work permits, application of specific regulations in labor law, and appointee rights and obligations.
- b. The terms of the appointment, which affect the duration of the contract and include a probationary period (three months for faculty, six months for administrators), name of the college, name of the department.

- c. The assignment of faculty position, which defines the salary and the duties and responsibilities of both parties.

All full-time faculty appointments at KIMEP University are date-specific. The length of a full-time labor contract is one year, normally commencing one week prior to the beginning of the academic year. Salary adjustments, if any, normally become effective at the beginning of a new academic year in late August or early September.

For full-time faculty, salaries are pro-rated over the period of employment and paid monthly. Adjunct or reclassified (including pension aged) faculty members are contracted on a flat fee basis with payments made according to contract.

7. Contract Renewal. For the first three years of a faculty member's time of employment at KIMEP University, the faculty member is deemed to be an "at-will" employee subject to the terms of an annually renewable labor contract. The University will normally provide a notice of renewal or non-renewal of a faculty member's annual contract at least four (4) months before the end of the contract period. The University has the right not to renew a first, second-, or third-year's contract without providing an explanation. However, traditionally, the decision not to prolong these contracts must follow procedural safeguards, which may include a review at a university level committee (appeals committee). KIMEP University has the right to inform a faculty or staff member at the date of expiration of their employment contract of non-renewal. Any requirement of notice does not apply where a faculty or staff member on a contract has been terminated due to lack of suitability (probationary faculty or staff members), or where the termination is based on violations of Discipline and Discharge provisions. After the third annually renewable contract, employment relations are open-ended with a rebuttable presumption that the contract will be renewed. Open-ended contracts are not applicable to faculty members working based on work permit.

The following principles apply to the renewal of employment contracts:

- a. Contract renewal is open-ended;
- b. Decisions for faculty members whose contracts will expire will ordinarily be made in March, following the completion of a faculty performance evaluation, of the relevant calendar year; and
- c. Renewal of faculty contracts also considers performance evaluations such as peer observations of teaching, department merit reviews and student evaluations of teaching and course during the existing contract period as well as upon predicted future teaching needs determined by the management of each college or academic unit, Academic Affairs, and ultimately, the decisions of the President's Cabinet.

8. Faculty Evaluation. The MES standards for faculty performance represent the baseline criteria expected of all faculty members and KIMEP will make every reasonable attempt to comply therewith. Colleges may develop additional criteria for decisions about faculty evaluation.

9. Initial Academic Appointments. Requirements and description shall be verified by Academic Affairs according to the Classifier of Academic positions. A strong faculty possesses a diversity of skills, academic preparation, and experience. In general, when making judgments about initial appointments, retention recommendations and promotions, members of the teaching faculty, Chairs, and administrators should consider achievements in the following basic areas: 1) teaching, 2) research and scholarship and 3) service.

9a. First Year Teaching Load for New Faculty. A newly appointed faculty member is to teach a reduced load for the first academic semester. The policy is to allow 3 courses/9 credits for the first semester and 4/12 for the second semester from the moment of appointment.

10. Lecturer, Senior Lecturer, Assistant/Associate/Full Professor

10a. Lecturer: Lecturer appointments are generally specific to the academic unit in which they will work and generally require a Master's Degree from a recognized accredited or attested university in the field of specialization. Prior teaching in higher education or professional experience is preferred but not necessary to be hired in this rank.

10b. Senior Lecturer: Senior Lecturer appointments are generally specific to the academic unit in which they will work and require either:

- a. Master's degree in a relevant field of specialization and normally at least three years of previous professional or academic experience, or
- b. Candidate of Science degree and normally at least three years of previous professional or academic teaching experience, and
- c. satisfactory teaching evaluations

An individual with appropriate professional qualifications may be appointed to this rank for a limited term of one year under “Special Appointment.” After one year of successful service, a faculty member appointed on “special assignment” may be reappointed as Senior Lecturer of regular status.

10c. Assistant Professor. To be appointed to this rank, a candidate must hold a terminal degree from a recognized accredited or attested university, in an appropriate area of specialization. Evidence of scholarly research, completion of a thesis or evidence of scholarly publications that show research potential is required for appointment to this rank (see Appendix VI-3 for research publication criteria for the rank of Assistant Professor). At least one year of satisfactory teaching experience. An individual with appropriate professional qualifications and research, but without a terminal degree, may be appointed to this rank for a limited term of one year under “Special Appointment.” After one year of successful service, a faculty member appointed on “special assignment” may be reappointed as Assistant Professor of regular status.

10d. Associate Professor. To be appointed to this rank, a candidate must hold a terminal degree from a recognized accredited or attested university, in an appropriate area of specialization. In addition, the candidate must have a minimum of 4 years of post-terminal degree teaching experience at graduate and undergraduate levels at institutions of higher education. In addition, appointment to this rank requires an adequate body of scholarly publications (see Appendix VI-3 for research publication criteria for the rank of Associate Professor). In addition, appointment to this rank requires evidence of other scholarly activities such as conference papers presentations/working papers/case studies and thesis supervision as well as experience in curriculum and program planning and development, accreditation or academic administration.

10e. Professor. To be appointed to this rank, a candidate must hold a terminal degree from a recognized accredited or attested university, in an appropriate area of specialization. In addition, the candidate must have a minimum of 8 years of post-terminal degree teaching experience with at least three years of teaching at the graduate level in higher education institutions. In addition, appointment to this rank requires a large body of scholarly publications (see Appendix VI-3 for research publication criteria for the rank of Professor). In addition, appointment to this rank requires evidence of other scholarly activities such as conference papers presentations/working papers/case studies and thesis supervision as well as experience in curriculum and program planning and development, accreditation and academic administration.

10f. Assistant/Associate/Full Professor of Practice

10g. Assistant Professor of Practice: An appointment at the rank of assistant clinical professor or assistant professor of practice requires a graduate level professionally qualifying degree from a recognized accredited or attested university in an appropriate professional field of practice. Appointment must be based on significant professional experience in the practice of the relevant profession. Work product or documented experience that is materially equivalent in rigor to published research required (see Appendix VI-3) for appointment to the rank of assistant professor must be submitted. Tertiary teaching experience and professional licensure and/or memberships may be considered, but are not generally required.

10h. Associate Professor of Practice: To be appointed to this position, a candidate must have a terminal professional degree from a recognized accredited or attested university in an appropriate professional field of practice. To be appointed to this rank, the candidate must have:

- a. Seven years of extensive experience in the practice of the relevant profession.
- b. Work product or documented experience that is materially equivalent in rigor to published research (see Appendix VI-3) and other scholarly activities required for appointment to the rank of associate professor.
- c. Experience of leadership in professional and/or educational policy, planning, development and administration.
- d. If discipline appropriate, professional licensure and/or memberships may be required.

10i. Professor of Practice: To be appointed to this position, a candidate must have a terminal professional degree from a recognized accredited or attested university in an appropriate professional field of practice. To be appointed to this rank, the candidate must have:

- a. Ten years of distinguished experience in the practice of the relevant profession.
- b. Work product or documented experience that is materially equivalent in rigor to published research (see Appendix VI-3) and other scholarly activities required for appointment to the rank of professor.

- c. Experience of senior leadership in professional and/or educational policy, planning, development and administration.
- d. If discipline appropriate, professional licensure and/or memberships may be required.

11. Adjunct Faculty. This policy establishes baseline standards for KIMEP University related to search processes, appointments, contracts, and conditions for adjunct faculty. The goal of the policy is to ensure a high quality of instruction by individuals with appropriate credentials and experience and to provide a set of policies that will lead to continuous improvement in the status of adjunct faculty at the University. This policy applies only to adjunct faculty, defined for the purposes of this policy as faculty members of KIMEP University who are:

- a. Providing instructional services;
- b. Retained on limited time period contracts; teaching on an as-needed basis; and
- c. Appointed to teach specific courses and compensated on a course-by-course basis.

11a. Adjunct Faculty Position Titles

The following range of position titles may be used for adjunct faculty within the categories stated above:

1. Adjunct Lecturer
2. Adjunct Senior Lecturer
3. Adjunct Principal Lecturer (previously Adjunct Professorial ranks)

Adjunct appointments cannot use the title professor unless they have an academic appointment at another HEI while being an adjunct at KIMEP.

11b. Recruitment and Selection of Adjunct Faculty

The Office of Academic Affairs delegates hiring searches for adjunct faculty to the Deans. The hiring departments or divisions are responsible for submitting contracts and required paperwork to the relevant college or academic unit. General criteria used in adjunct faculty selection include the appropriate minimum degree for the teaching assignment and the professional credentials of the candidate, with emphasis on the extent and relevance of teaching experience. Individual departments may have additional criteria depending on the needs of the teaching assignment.

1. Credentials. Adjunct faculty must meet basic qualifications by holding either a terminal degree, a Master's degree in a relevant field of specialization and normally at least three years of previous professional or academic experience, or a Candidate of Science degree and normally at least three years of previous professional or academic teaching experience in an appropriate area of specialization. The colleges/schools shall develop written standards for the academic degrees or professional certification and professional experience required for appointing adjunct faculty. These standards may vary depending on the level of courses to be taught. The following descriptions are designed to provide minimal credentials criteria across the University.
2. Promotion. Adjunct faculty are eligible for promotion to higher academic rank based on time and experience.

11c. Adjunct Lecturer: Adjunct Lecturer appointments are generally specific to the academic unit in which they will work and generally require a master's degree from a recognized, accredited or attested university in the field of specialization. Prior teaching in higher education or professional experience is preferred but not necessary to be hired in this rank.

11d. Adjunct Senior Lecturer: Adjunct Senior Lecturer appointments are generally specific to the academic unit in which they will work and require either

- a master's degree in a relevant field of specialization and normally at least three years of previous professional or academic experience, or
- a Candidate of Science degree and normally at least three years of previous professional or academic teaching experience

11e. Adjunct Principal Lecturer (previously Adjunct Professorial ranks). To be appointed to this rank, a candidate must hold a terminal degree from a recognized accredited or attested university, in an appropriate area of specialization. Questions of appropriateness are left to the Dean if any question arises. Evidence of scholarly research,

completion of a thesis or evidence of scholarly publications that show research potential is required for appointment to this rank (see Appendix VI-3 for research publication criteria for the rank of Assistant Professor). Additionally, the candidate must have at least one year of satisfactory teaching experience. An individual with appropriate teaching, professional and research qualifications, but without a terminal degree, may be appointed to this rank for a limited term of one semester under "Special Appointment." After one year of successful service at that rank (two semesters), an adjunct faculty member appointed on "special assignment" may continue as Adjunct Principal Lecturer (Adjunct Professorial ranks) for further teaching assignments in that college.

12. Adjunct Faculty Selection Procedures and Hiring Criteria. Each college or school should have written procedures for selecting adjunct faculty. These procedures shall include verification of credentials, and reflect the commitment of the University to equitable hiring. The Deans shall ensure that the approved standards and salary ranges are applied fairly and consistently. If an applicant is to conduct a lecture or presentation, a committee including faculty should attend the presentation and give feedback to the selection committee about the suitability of the adjunct candidate. The search committee should consult the job description for the academic rank they are considering and compare the applicant's experience, qualities and/or teaching performance with the purposes of the post, the duties and responsibilities of the post, and the required qualifications and experience as well as the essential skills and competencies required for the position. Job descriptions for academic teaching positions can serve as descriptions of hiring criteria.

13. Adjunct Faculty Working Conditions: Support for Teaching: At least two weeks prior to the beginning of classes, the University and/or College shall provide each adjunct faculty member with the support it determines to be necessary for the execution of the appointee's duties, which may include access through the University's website or other electronic resources, including the following:

- a. Information on the college or school and department or division's policies, requirements, learning outcomes and goals for each course, along with access to examples of past course syllabi (if available);
- b. Official schedule of classes, including academic calendar and time frames of class meetings;
- c. Assistance in the selection of textbook(s) for the course(s) and ancillaries for the text(s), if these are not otherwise selected by the department/division;
- d. A University email account along with access to on-campus computing facilities;
- e. Telephone or other voice access, as appropriate;
- f. Necessary office supplies;
- g. Copying services for course materials; and
- h. Appropriate space for meeting with students during scheduled office hours.

14. Adjunct Faculty Teaching Evaluation and Teaching Assignment

The respective Chair or program director should observe one or more class sessions taught by respective adjunct faculty members and submit a report and make recommendations to the Dean or their designee. Evaluations shall be kept by the college or school in a confidential personnel file and shall be consulted when decisions about promotion, compensation, and any subsequent appointments are made.

The University reserves the right to give its full-time faculty preference over part-time faculty members in the matter of teaching classes affected by the necessity of combining or canceling sections because of low enrollments. The hiring department or division shall provide adjunct faculty with reasonable and adequate notice of projected teaching assignments prior to the start of classes.

Adjunct faculty course load is ordinarily a maximum of 2 courses per semester. Each course is clearly identified in the contract with a definite beginning date and ending date. Courses with fewer than 5 students enrolled will be taught by full-time faculty. This requirement is to ensure that students in IS and internships or thesis supervision are able to work with full-time program faculty members.

15. Adjunct Faculty Contracts and Letters of Appointment. Each adjunct faculty member shall be provided a written service contract and formal letter of appointment prior to the beginning of the assignment, which includes:

- a. Position title
- b. Contract term
- c. Per-course compensation

- d. Description of the assignment
- e. Explanation of the implications of the cancellation of a course before the start date.
- f. Name of the college, name of the department.

All adjunct hires will have signed a contract by two weeks after the start of class or when late registration is completed. No adjunct is to teach any class or conduct any work unless they are under contract. Hiring is subject to University teaching needs. KIMEP University reserves the right to cancel class without notice and without compensation and not be obligated to find work for the adjunct.

KIMEP will normally prepare service contracts for all adjuncts. Adjunct faculty may teach two terms per annum, either consecutively (e.g., Fall and Spring terms, or Spring and Summer terms, or Summer and Fall terms), or not, but not all three terms. If a Dean believes that a labor contract is more appropriate, the Dean should specify the reasons. A labor contract may be executed with an adjunct faculty applicant for only one semester per academic year. Cautionary language will be added to the labor contract about specific classes and employment based upon availability of courses to teach. At the conclusion of the teaching assignment, the labor contract will be terminated.

16. Adjunct Faculty Notice of Policies and Procedures. Upon signing a contract or otherwise accepting an appointment, the adjunct faculty member will receive access, electronically or in print, to the University's FCP.

17. Adjunct Faculty Compensation and Benefits.

17a. Compensation. The following rates apply to adjunct faculty teaching (and full-time faculty teaching overload):

- a. Courses with fewer than 5 students will be taught by full-time faculty
- b. Courses with 5-10 students = 1/2 of the current approved pay rate depending on rank of the adjunct faculty member
- c. Courses with 11-14 students = 2/3 of the current approved pay rate depending on rank of the adjunct faculty member
- d. Courses with ≥ 15 students = 100% of the current approved pay rate depending on rank of the adjunct faculty member

17b. Adjunct Faculty Grievance and Appointment Rights

- a. Grievance Procedure. With the exception of those policies and procedures that relate to the appointment and rank of full-time faculty, Adjunct faculty shall have available the same grievance procedures as all other faculty.
- b. Process Related to the Termination of Adjunct Faculty. All adjunct faculty members shall have the opportunity for an informal hearing at the level of the appropriate Dean's office before termination of an appointment within the term of the faculty member's contract. The University may remove the adjunct faculty member from the classroom, while continuing to pay the faculty member, pending the outcome of the hearing.

18. Adjunct Faculty Subsequent Appointments. The decision whether to re-appoint an adjunct faculty member after the term of the faculty member's contract expires remains within the discretion of the University — provided that the decision is not made for unlawful reasons or in retaliation for the faculty member's exercise of grievance rights or shared governance activities.

19. Adjunct Faculty Participation in the Campus Community

- a. Integration into University Life. Adjunct faculty members shall be invited, to the extent feasible, to participate in the scholarly, intellectual, academic, and social life aspects of the department or division, college or school, and University.
- b. Shared Governance Participation. Each Dean should provide opportunities for adjunct faculty to communicate their concerns to campus administrators, provide advice in the development and implementation of policies and procedures related to adjunct faculty, and otherwise participate in shared governance. The VPAA may invite adjunct faculty members to meet to share ideas for improving adjunct faculty work-life.

20. Teaching Assistants (TAs). Full-time faculty with more than 40 students in one section/group or more than 100 students total for that semester may request 1 TA. One additional TA may be assigned to full-time faculty teaching more than 150 students in one semester.

Hiring for TA positions is applicable just for current KIMEP students. TAs work part-time 10 hours per week. TAs can be graduate students or, with the approval of the Dean, 3rd or 4th year undergraduate students with a GPA higher than 3.0.

While TAs may be employed for teaching support, research support, and/or office support, they cannot be assigned formal teaching responsibilities and cannot grade papers or advise students.

It is the responsibility of the faculty member requesting a TA to prepare and submit an Offer of Employment prior to the TA assuming duties. Contracts will not be backdated to the start of work.

Each College or Academic Unit has its own policies on the duties and responsibilities of a TA, which are covered during their training sessions prior to employment. Instructors should be aware of the College policies, and not request TAs to perform activities beyond what is specified. As noted, TAs are not allowed to engage in any formal teaching activities, cannot grade student exams or papers, and cannot provide advising services. Teaching and grading student work is the sole responsibility of the instructor.

TAs are not to be given access to passwords for faculty computers and may not be given information about other students. TAs may work on an instructor's computer only if the instructor is physically present nearby and supervising the TA's work. A job description for TAs follows in the appendices.

The following key points apply to requesting appointment for TAs:

Qualifications for TAs:

1. Graduate students or 3rd and 4th year undergraduate students
2. GPA at least 3.0
3. Instructor should interview student(s) and select the TA. Priorities should be given to those students who are on the Fin Aid list. (The list will be provided to all faculty members by the Fin Aid office - see Intranet>Enrollment>Financial Aid.)

Documents for Signing Contracts for TAs (see Appendix VI-15 for form to copy and sign):

1. Offer of Employment form signed by the TA, instructor and Dean of concerned academic units;
2. An updated copy of the CV of the TA and a copy of the TA's transcript (unofficial);
3. Complete the Code of Conduct Form and submit it with all proper signatures (TA, instructor and Dean) (see Appendix VI-15)
4. A copy of the TA's job description (see Appendix VI-15)
5. Attendance sheet(s) must be attached as proof that an instructor has the required number of students
6. Any other documents required by HR (copies of ID card and copy of the Pension agreement are required for KZ citizens).

Also, please note that HR must inform students that they have a position before the student can begin working as a TA.

Note: Please remember that if faculty request hiring a foreign student as a TA, they (the foreign student) should sign a Service Agreement.

21. New Faculty Orientation to KIMEP. Deans are responsible for ensuring that each faculty member, when initially appointed, receives an orientation to KIMEP University. The orientation will include, but not be limited to:

- a. a review of the mission and goals of KIMEP University,
- b. a review of the University's organization structure and reporting relationships,
- c. a review of the faculty member's responsibilities,
- d. a review of the policies and procedures of KIMEP University,
- e. a review of the goals of their department and college,
- f. a review of the procedures for their department.
- g. an introduction to other faculty and administrative staff, both within their unit and other units on campus
- h. an explanation of the roles and responsibilities of other faculty and staff members,
- i. an explanation about how to obtain the necessary supplies and support required to do their job,
- j. an explanation/tour of the physical layout of the campus and location of services,

- k. a review of the performance appraisal process and a scheduled first meeting to discuss performance goals and criteria for teaching, research and service,
- l. a welcome for the new faculty member to their department.

22. Performance Evaluation Decisions and Merit Review. All KIMEP University faculty members anticipate in an annual review process according to approved criteria determined at the departmental and/or college level. The performance evaluation cycle will begin with the faculty member and supervisor setting the faculty member's goals and objectives for the academic year. The performance evaluation process at KIMEP University is designed to support clear communication between supervisors and faculty members by ensuring that the supervisor and faculty member have the same understanding of the goals and objectives required of the faculty member and to ensure the goals and objectives of each faculty member are aligned with the objectives of their unit and the University. In addition, the annual evaluation provides ongoing feedback during the year between the supervisor and the faculty member on workload expectations and includes amending goals and objectives as circumstances change and provides opportunities for coaching and supporting the faculty member.

Post-probationary staff should normally expect to receive performance reviews with an annual formal evaluation that identifies achievements and goals

23. Annual Performance and Merit Reviews are initiated in February of each year, and cover the previous calendar year (Spring, Summer, and Fall semesters). Each faculty member prepares a self-evaluation based upon guidelines and a recording form approved by the relevant college. This self-evaluation is given to a college/unit management team for review. The College management team verifies the results claimed by the faculty member and prepares an evaluation, which is reviewed by the Dean (logically, therefore, the Dean does not participate in the management team review, but accepts the evaluation of the unit's 'management team'). The evaluations of the college management team must be shared with the faculty member. The evaluations of the college management team must be signed by the faculty member, and the faculty member may attach an explanatory note and or supporting documents. The Dean should meet with the faculty member and discuss the evaluation of the management review team. The Dean is allowed to make adjustments based on clearly articulable reasons and discussion with the faculty member.

If sufficient funds become available, the University budget may allow merit compensation to KIMEP teaching and administrative staff. The following scale has been used in the past for ranking faculty merit increases: outstanding (top 10%), superior (next 20%), more than satisfactory (next 30%) and satisfactory (next 40%).

The evaluations of each college's Management Team will recommend one of the following performance and merit actions:

- a. The performance of the faculty member is outstanding (top 10% of faculty) and may receive a base salary increase plus the highest amount of merit increase
- b. The performance of the faculty member is superior (next 20% of faculty) and may receive a base salary increase plus a higher merit increase.
- c. The performance of the faculty member is more than satisfactory (30% of faculty) and may receive a base salary increase plus an above average merit increase.
- d. The performance of the faculty member is satisfactory (40% of faculty). The faculty member may receive a base salary increase.
- e. The performance of the faculty member is not satisfactory, or if the faculty member did not submit a performance evaluation form, the faculty member should not receive a salary increase.
- f. The performance of the faculty member is grossly unsatisfactory, and the faculty member should be reassigned to different teaching/research/service responsibilities.

In the event a faculty member is not satisfied with the result of their annual evaluation from the college management team or Dean, they may appeal to the VPAA who will refer the appeal to either an ad hoc committee or to the University Faculty Retention-Appeal Committee for review. The university committee may decide the appeal has substance because it concerns: a) violations of procedures (due process), b) violations of KIMEP's equitable workplace policy, c) errors of judgment/evaluation of the academic merit of the candidate's file or d) violations of academic privilege/freedom. If the university committee decides the appeal does have substance, then this decision will be returned to the VPAA who will work with the college Dean to find a solution.

Some questions for faculty members that may be helpful in considering annual faculty evaluations are:

- Research (What criteria are used by the department in evaluating the impact of research activities? Which research activities are going well? What concerns are raised about research activities?)
- Teaching (What criteria are used by the department in evaluating teaching effectiveness? What courses might be appropriate to teach next year? What suggestions are made for aligning teaching assignments with research activities?)
- Service (What service activities are highly valued by the department? What committee assignments would be helpful to undertake next year? What professional service to organizations would be helpful to undertake next year?)

The annual reviews can be useful for getting feedback about teaching, research and service activities—what is going well and what concerns have developed. Good annual evaluations do not automatically qualify a faculty member for promotion to a higher academic rank. Annual reviews are limited to one year's activities while promotion reviews consider several years' activities and require evaluation from colleagues outside the department and university.

Clinical faculty should be evaluated annually using the school/college faculty evaluation plan. All evaluations shall be based on the faculty member's teaching, service and achievement in professional practice as defined in the applicable field. Non-practice scholarly activity may be considered on an optional and supplemental basis, but shall not substitute for the mandatory evaluation criteria herein.

24. Recommended Process of Merit Review Includes the Following Steps:

- i. The initial review of self-assessment submissions will be carried out by the retention committee at departmental or equivalent level, if such exist in the college, and recommendations submitted to the college/school management team for scrutiny.
- ii. College committees composed of the Dean, Associate Dean, and Chairs will review merit recommendations, making adjustments as necessary to ensure cross-departmental fairness. Departmentally-based conflicts of interest will be resolved by the relevant member of the Management team leaving the meeting when their department is under review. Deans will also conduct an independent review to compare with the review of the college Management team.
- iii. Appeals by faculty members beyond their college will be reviewed by the VPAA and the KIMEP Retention-Promotion Appeals Committee (URPAC).
- iv. Recommendations for faculty member merit increases from the colleges/academic units will be submitted to the VPAA for endorsement. Final decisions about the recommendations will be made by the President's Cabinet.
- v. Chairs and Associate Deans will be reviewed by their Deans using a form developed by their respective college. Deans will be reviewed by the VPAA
- vi. Appeals will be submitted to the VPAA who will convene an appropriate committee to review the appeals.
- vii. The VPAA will be reviewed by the Board.

25. Faculty Attaining Pension Age

The employment contract of a person who has attained pension age is terminated by KIMEP policy as allowed by law pursuant to relevant labor legislation of Kazakhstan.

By mutual agreement, such employment may be renewed on an annual basis with the same or different terms.

Human Resources will notify the deans of faculty members one year in advance of any member reaching pension age.

Upon receiving such notification, the dean may inquire as to the member's preferences regarding future employment and shall determine if it is in the best interests of the academic unit to offer a renewable annual full or part-time contract to such faculty member on the same or modified financial terms.

The basis for the dean's determination should be documented as a confidential personnel matter and must include the following considerations:

1. Projected enrollments for classes that may be reasonably taught by the member;
2. The member's teaching evaluation scores as provided by QAIR;
3. The quality and quantity of the member's past, current and projected future research;

4. Insofar as possible, an objective analysis of the member's service to the university and broader community, including matters of collegiality;
5. An evaluation of the member's other ongoing contributions to the quality and reputation of the University, such as superior academic qualifications, knowledge and sharing of institutional memory and other relevant activities or factors;
6. Other matters, such as the anticipated budget, changed duties, availability of suitable replacement(s), etc. that are material to the determination are to be noted.

As soon as practicable upon making such determination, the dean shall, with the assistance of Human Resources, formally notify the member that employment is to be terminated in accordance with law. If applicable, the dean shall simultaneously make an offer of an annual renewable contract on such terms she or he determines to be appropriate. Each subsequent annual renewal shall be considered anew in the same manner. Additional year(s) of service pursuant to such contract(s) shall be counted toward the minimum years required for Emeritus designation.

If the faculty member is not offered such contract by the dean, or believes the terms offered are not appropriate, and the member and the dean cannot come to agreement after discussion, the member may submit a request for reconsideration to the VPAA in writing stating reasons and providing proof as to why annual renewal of employment on the prior terms would be in the best interest of the academic unit.

Upon receipt of such request for reconsideration, the VPAA may convene a confidential advisory committee consisting of not less than two faculty members from another unit and one faculty member from the same unit (all preferably at the same rank or higher as the requesting member) to review the documentation and make recommendation(s) regarding disposition of the matter to the VPAA.

The decision of the VPAA on the request for reconsideration shall be final and subject only to appeal under the laws of Kazakhstan.

26. Faculty Member Retention Decisions of Pension Aged Faculty. Departments and college management teams forward their recommendations for faculty member retention decisions to their relevant Dean. Recommendations for faculty member retention are forwarded to the VPAA who submits the recommendations for review to the President's Cabinet. The President's Cabinet considers any legal or financial obstacles to retaining the faculty member and recommends whether individual professorial faculty members will be retained for continuing employment. The recommendation of the President's Cabinet may be influenced by such factors as: faculty resignations, budget, dismissal for just cause, or educational policy shift.

27. Emeritus Faculty

Faculty members who retire (either through contract non-renewal by KIMEP or retired upon their own initiative) after fifteen (15) or more years of service and at the legal retirement age or above, attain, upon retirement, the title "emeritus" or "emerita", when recommended by their dean and approved by the AC and top management.

Emeritus members of the faculty shall retain all normal faculty library privileges, including checking out materials without fees (deposited or required in any way). Emeritus members of the faculty shall retain e-mail accounts as long as they wish, and the College will make reasonable efforts to supply emeritus faculty with technical computing support. Where possible and desirable, according to mutual agreement among affected persons and departments, emeritus faculty may retain certain research privileges. Emeritus faculty may be principal investigators for research projects, and consonant with the efficient allocation of staff resources, are entitled to assistance in applying for external grants. In accordance with policies established by the Dean of the appropriate College, emeritus faculty may be assigned office space and may receive support from college management staff. Their emeritus status is not affected if they work as an adjunct. Those in this status are not eligible for publication awards. They may lose this privilege by gross misconduct either professional or personal, as determined by the VPAA and an appropriate committee of KIMEP University.

28. Newly-Hired Retention Review and Criteria

The first three years for faculty at KIMEP are under annually renewable contracts. A one-year period of full-time teaching is normally required for all individuals appointed to faculty positions prior to the granting of a second contract.

28a. First Year. In the first year, the review shall be scheduled during the second semester of employment to evaluate the performance of individual faculty members, to provide constructive feedback on their academic progress, to retain

those who meet the applicable standards for retention. Those who do not meet the standards of the department and the expectations of the University during the one-year period after their initial appointment (including compatibility with the other faculty members), will be notified by the Dean of the intent not to renew the contract. The retention review will use the criteria discussed in the sections for Retention. This decision remains at the college level and is without appeal.

28b. Subsequent Renewals. The second and third contracts are also annual contracts. Following the third annual contract, the fourth and all ensuing contracts are open-ended. Candidates for retention should meet the University-wide expectations for appointment and for retention in teaching, research/scholarship/professional activity, and service. In addition, candidates should meet department and college criteria for retention.

Departmental (or where no departments exist, college) level review committees for retaining must follow proper procedure. Members of the committee must be of equal or greater rank. In the event that there are insufficient numbers of such members within the department or college, the Dean, working with the VPAA will work out a solution; first through permitting the appropriately ranked faculty from other departments and colleges to participate (however, the majority of members should be from the college), or a written, approved exception to allow professors of lesser rank participate.

College decisions not to renew a second- or third-year contract may be appealed to the Office of Academic Affairs. The VPAA will direct the appeal to the URPAC. The committee will decide either to support the decision of the college or send the matter back to the college with guidance on how to remove the procedural defect.

28c. Teaching, Research/Scholarship, and University Service/Professional Activities/Voluntary Community Service Criteria for Retention. The principal criteria used for this are end-of-course evaluations and, where appropriate, peer review and other evaluations. Retention requires at least satisfactory performance by the faculty member under the terms of the contract. For promotion criteria, please see subsequent sections.

29. Early Termination. Early termination of a contract may only be done following the submission of a written explanation thereof with notice to the affected faculty member. The faculty member facing early termination shall be entitled to appeal that decision. These provisions apply to all faculty members, regardless whether they are under an annual or open-ended contract and irrespective of whether the faculty member is of retirement age or emeritus status. All such appeals shall be to the VPAA. The VPAA may elect to appoint an ad hoc committee or use the standing University Promotion Committee to review the appeal and make a recommendation for its resolution, but the final decision rests with the VPAA and shall not be subject to further review.

30. Promotion Review and Criteria

30a. Teaching Criteria for Promotion

Teaching occupies the most important position among academic duties at KIMEP University. Quality teaching is the most important component in the annual evaluation of faculty members. Effective teaching requires intellectual competence and integrity, adaptive pedagogical practices that stimulate and guide student learning and the application of new knowledge to revising courses and curriculum.

Candidates who are currently on leave may still apply for promotion.

The successful candidate must have in their portfolio a statement on pedagogy and peer review observation reports. The details for each rank are described below.

Statement in candidate's portfolio regarding pedagogy

The applicant's supporting statement requesting promotion should discuss significant teaching activities including: classes taught, innovative pedagogical techniques used for improving student learning and thinking, outside of class support for students, and efforts to revise courses and curricula consistent with new knowledge which contributes to students' learning.

Since teaching includes activities broader than classroom instruction, evaluation of teaching by department and college promotion review committees must consider more than classroom performance. University-wide expectations for evaluation of teaching by department and college promotion review committees must discuss at least (5) five of the following items for each applicant for retention or promotion:

1. quality, amount, and level of classroom instruction (including graduate and undergraduate courses, shared instruction);
2. development of curricula, new courses, and classroom materials;
3. supervision and mentoring of graduate students, including Chairing of theses or dissertations;
4. service on graduate examination and dissertation committees;
5. supervision of independent studies or reading courses;
6. supervision of teaching assistants in undergraduate courses if part of applicant's responsibilities;
7. supervision of undergraduate and/or graduate research;
8. supervision of field work or practicum experiences.

30b. Research/Scholarship Criteria for Promotion

The University values research that builds knowledge through processes of learning and identifying new ideas and new processes, combining or joining of ideas together to make a larger whole such as translational research, showing uses and relevance for ideas and procedures such as commercial activities and patents, and teaching other people to take up these practices of building knowledge. Each of these scholarly contributions can involve collaborations between the university and other domestic and international partners in business, social science, education and law. Research and publication culture varies across disciplines. Faculty Promotion Review Committees in the departments and colleges are asked to construct their evaluation criteria in ways that recognize and support this comprehensive perspective and reflect the culture of the individual disciplines.

Applied (basic or fundamental) as well as pure research and creative works provide the foundations for teaching and professional activities by contributing to faculty members' knowledge within their teaching fields, permitting them to become productive scholars among peers in learned and professional societies and establishing them as citizen-scholars who contribute to local and regional communities.

Therefore, the pursuit of a definite, continuous program of studies, investigations, or creative works is essential. Remembering that quality of scholarly production is considered more important than mere quantity, candidates should demonstrate such evidence as completed post-doctoral programs; research activities leading to participation in and papers presented to professional meetings and the publication of articles and books; creative works of literature, art or invention which result in publications, exhibits, and patents; peer-reviewed documentation of applied research projects and their impact; and the receipt of professional honors, grants, and awards.

All journal articles submitted for consideration should state the impact factor. All books submitted for consideration should declare both the bibliographical reference and that they are either published by national or international publishers. These items should be double-checked by committees at the college level before they reach the university committee. Co-authored or single-authored books, which can have a longer-term impact, should be given more recognition.

Authors of publications should indicate affiliation with KIMEP University

The following descriptions, by rank, represent University-wide expectations for research/scholarship. The colleges may require additional criteria for faculty members in their units. By professorial rank the following are expected:

Assistant professor: Academic preparation should be sufficient for progress in independent research, scholarship and creative work. Evidence of scholarly research, completion of a thesis and evidence of a beginning body of scholarly publications that show research potential is required for promotion to this rank (see Appendix VI-3 for research publication criteria for the rank of Assistant Professor)

Associate professor: The production of scholarly or creative works should be of sufficient merit to gain local, regional/national and international recognition. Promotion to this rank requires an adequate body of scholarly publications (see Appendix VI-3 for research publication criteria for the rank of Associate Professor)

Professor: The production of scholarly or creative works should be of sufficient merit to gain regional/ national and international recognition. Promotion to this rank requires a large body of scholarly publications (see Appendix VI-3 for research publication criteria for the rank of Professor). Journal editorships, evidence of business engagement and book series general editorships should form part of the professional duties of a Full Professor. Merely hitting the publications score should not be enough.

30c. University Service/Professional Activities/Voluntary Community Service Criteria for Promotion. Faculty members are expected to be available for service to University faculty, students, and administration. They must show willingness to serve and to demonstrate efficient performance in such capacities as faculty governance, department/college and University level committees, administrative assignments, sponsorship of student organizations, and other University-related activities.

The following descriptions represent University-wide expectations for service. The colleges may require additional criteria for faculty members in their units. By professorial rank, the following are expected:

Assistant professor: University service should be in evidence at least at the college level.

Associate professor: Effective university service at department, college and university levels should be in evidence.

Professor: Effective leadership in university service at department, college and university levels should be in evidence.

Professional Activities. Active participation in organizations that stimulate and propagate knowledge in professional disciplines is an essential ingredient to professional growth and development. Therefore, evidence of membership; committee service; offices held in professional organizations; and experience in organizing and assisting in conferences, workshops, and seminars are principal criteria to be considered for faculty promotion. Professional consultation; travel related to teaching and research; and recognition by one's peers through professional honors, grants, and awards should also be given serious consideration. Voluntary and philanthropic activities related to the faculty member's discipline or area of expertise should be considered where appropriate. Professional activity includes the application of knowledge to address practical, social, political, or economic issues or challenges.

The following descriptions represent University-wide expectations for professional activity. The colleges may require additional criteria for faculty members in their units. By professorial rank, the following are expected:

Assistant professor: A foundation of professional activity should be in evidence.

Associate professor: Significant involvement in advancing knowledge through participation in professional organizations and other professional activity at the local, state, or regional level should be apparent.

Professor: Leadership in advancing knowledge through participation in professional organizations and other professional activity at the local, state, regional, or national level should be clear.

Voluntary Community Service. Service to groups, agencies, and institutions external to the University is a legitimate responsibility of faculty and is consistent with the mission statement of the University. In general, community service should result from carefully developed plans of activity. Persons who desire recognition for their voluntary service must document their work's effectiveness.

The following descriptions represent University-wide expectations for community service. The colleges may require additional criteria for faculty members in their units. By professorial rank, the following are expected:

Assistant professor: The candidate should demonstrate activity within the University's continuing education area or membership and activity in local community and public service agencies, groups, and other organizations.

Associate professor: The candidate should demonstrate effective community service at various levels.

Professor: Leadership within local and regional groups should be in evidence.

30d. Promotion Recommendations and Promotion Portfolio. Candidates for promotion should have positive recommendations for promotion from the appropriate department and college committees, Chair, and Dean. Ordinarily faculty members serving a probationary period may not submit applications for promotion until one year after their probationary period has ended. Except under extraordinary circumstances, the criteria for retention should be fulfilled before eligibility for promotion is considered. (Eligibility suggests when candidates may be considered for promotion.) The candidate must have completed the necessary time in teaching before beginning the promotion process and submitting the portfolio. The applicant for promotion should have minimum 3 years of experience at KIMEP. A candidate is eligible to submit a promotion portfolio in their fourth year.

For all academic ranks, the candidate is requested to prepare a promotion portfolio consisting of:

1. Candidate Statement requesting promotion and explaining rationales (related to the relevant criteria for teaching, research and scholarly activities and professional and voluntary service) for the request
2. Detailed and clearly organized current academic resume or CV
3. Evidence of scholarly activity (e.g., publications, conference presentations, seminars, working papers, etc.), based on rank requested for promotion—see Appendix VI-3 for specific details. Copies of publications (or publications submitted for review). Foreign language publications should be accompanied by an English translation, or in the case of lengthy publications, accompanied by an English language abstract.
4. Student evaluations for courses taught in the last three academic years
5. Peer observations of the candidate's teaching
6. Evidence of KIMEP and/or community service
7. Two letters of recommendation from KIMEP colleagues with knowledge of the candidate's teaching, research or service. See referee letter template in Appendix VI-2.
8. Letters of recommendation from two external reviewers (one reviewer selected by candidate and one reviewer chosen by the Chair in consultation with the department). See referee letter template in Appendix VI-2.
9. Letters of review by:
 - a. the department promotion committee,
 - b. the college promotion committee and
 - c. the Chair
 - d. the relevant college Dean

When the college submits a candidate's promotion file (including a table of contents), Academic Affairs staff will check the contents according to the materials listed above and create a list of documents. This list will be signed by Academic Affairs staff and a college representative who submits the files. All faculty promotion materials must be submitted in binders as well as in e-portfolios or they will not be accepted.

31. Planning Toward Promotion. This section provides guidance for individual candidates about ways to prepare for promotion review. Review the university-wide criteria described in this FCP. Review the promotion criteria developed by the relevant department and college. The criteria can be useful for setting goals for teaching, research and service. Use the criteria to generate questions about selecting journals in a relevant disciplinary field for manuscript submissions, or which conferences are more respected or which service and outreach roles are more valued. In addition, review the feedback from annual evaluations and consider existing contributions in teaching, research and service and how those contributions are valued by the department head or college Dean or department colleagues. Talk with colleagues about how to discuss research and scholarly activities. Their comments will give guidance about how to write about research efforts in annual reviews and the candidate statement for promotion. At conferences and other events, look for colleagues who would be willing to serve as external reviewers. Review contributions in teaching and consider how to describe the impact of classes and related activities. Solicit departmental peer observations and reviews of teaching and teaching materials. Review contributions to research/scholarly writing and consider how to describe the impacts from these activities. Discuss invited talks, conference presentations, publications, citation survey figures, and funded grants. Review service contributions and consider how these activities support the department, the college and the university. Try to connect teaching and research with possible service contributions to make the most of each type of contribution.

32. Special Requests during Faculty Promotion Review. Unusual circumstances might develop in which important documents necessary for a candidate's file become available during the review process. These unusual circumstances are usually limited to following positive events: receiving an important award, a significant grant, a letter of acceptance for a journal article or a contract for a significant publication that is signed with a publisher. However, circumstances may also occur that produce documents negatively affecting a candidate's application for promotion.

Documents, regardless whether related to positive or negative events that develop during promotion review, may only be added to a candidate's file according to the following process:

- a. a department head or department faculty promotion committee chair recommends that the documents be added,
- b. the candidate is informed in writing that the document(s) have been added,
- c. a request to amend the file must be sent in writing to the VPAA and

- d. the altered file is reviewed again (re-reviewed) **by all levels** of reviewers.

If the additional documents reflect negatively upon the candidate's application, the candidate must be allowed to see the documents and write a response that will be added to the file.

Adding documents to candidate files outside of this process may lead to withdrawal of the candidate's file from further review and possible disciplinary action directed at the person adding the documents, depending upon the documents added and the circumstances surrounding the situation.

Other kinds of circumstances may affect the ability of a candidate to complete a review file on time such as: birth or adoption of a child, personal health, assuming significant responsibilities for caring for a family member or relative, other circumstances that are beyond the control of the faculty member, or prestigious external commitments such as assuming a leadership role in an academic organization or editorial leadership for a journal. In these circumstances, a request by a candidate for an alternative schedule for faculty promotion review must be approved by the VPAA by mid-September of the academic year when the candidate expects to submit a request/file for promotion.

33. On Composition of KIMEP University's Committees

Where possible, committees should be composed of equal numbers of men and women, or proportional numbers of men and women according to the gender composition of the workforce, to avoid gender bias during voting.

34. Department and College Faculty Retention Committees and Promotion Peer Review Committees. Each department and college are required to form separate Faculty Retention and Faculty Promotion committees to review requests for retention and promotion, respectively, of teaching faculty. Such committees at the department or college levels are standing committees by definition. The purpose of these standing committees is to advise the department head and the college Dean about recommendations for faculty promotion. As these committees advise the Dean, the Dean cannot be a member or chair of these committees. Faculty Retention Committees and Faculty Promotion Committees at the department level will develop appropriate criteria for review of candidates' files. These criteria normally would remain consistent from year to year after being approved by the college Dean and the VPAA. Revisions of the criteria at the department level may be undertaken only after consultations with the college Dean and the VPAA.

Members of these committees are expected to consider carefully the criteria developed by their departments and to discuss with other committee members how the criteria will be applied prior to reviewing candidates' files. Faculty members are also expected to review carefully the criteria for retention and/or promotion developed by their departments. Department committee members and department heads must meet with prospective candidates each year to review current criteria for retention or promotion and to answer questions from potential candidates. Faculty members who experience difficulty in meeting departmental criteria for retention or promotion are expected to meet with their department heads as soon as possible to discuss the situation.

Colleges and departments may not constitute ad hoc committees for faculty promotion decisions outside of the normal calendar for promotion review (see Appendix VI). Faculty members who miss deadlines will be expected to apply during the next (following year) promotion review cycle. There are no appeals based on missed deadlines.

Department and College faculty promotion reviews shall follow the schedule outlined in Appendix VI-5. A request by a candidate for an alternative schedule for faculty promotion review must be approved by the VPAA by mid-September of the academic year when the candidate expects to submit a request/file for promotion.

Department and College faculty standing promotion committees shall be composed of at least 50% relevant department/college full-time faculty members with appropriate rank. Members of faculty promotion review committees shall hold academic rank superior to that of the candidates who are being reviewed except in the case of candidates requesting promotion to full professor. In such cases, all faculty members on the committee shall hold the rank of full professor. If the size of the department means that all faculty members are needed to constitute a review committee, or the department lacks enough faculty members of sufficient rank to perform that task, then the promotion committee must compose a letter, which addresses concerns about potential conflicts of interest and bias. If the size of the department means that too few faculty members at the needed rank are available to serve, then the Chair must address this situation in the recommendation letter and explain how it was resolved satisfactorily. However, the Chair must advise the promotion committee members about the applicant's record of teaching, publication and service.

Faculty members who concurrently serve on faculty promotion or retention review committees at the department and college levels must declare themselves disqualified to vote on any candidate's file, which they have reviewed in a department level committee. Candidates' co-authors or collaborators should avoid serving as department or college promotion committee reviewers or administrative reviewers. Co-authors or collaborators are defined as individuals having co-authored books, journal articles, grant applications, conference papers, abstracts, conference proceedings (papers must be published in proceedings and ISBNs given) within the past five years. Co-authors and collaborators should declare themselves disqualified to avoid raising concerns about influence on faculty promotion committee decisions. If the size of the department requires the participation of co-authors and collaborators to constitute a standing committee, then concerns about conflicts of interest should be raised by the department faculty promotion committee Chair in a letter to the department head and resolved. Questions from department heads, Chairs of faculty promotion review committees and college Deans about whether a faculty member can serve as a faculty promotion reviewer should be directed to the VPAA.

Discussions of a faculty promotion committee are normally held without the attendance of the administrator they advise except at the university level when the attendance of the VPAA may be requested to provide counsel.

Negative decisions about promotion from either the relevant department or the college mean that the candidate's file will not be forwarded to the University Faculty Promotion Review Committee. Candidates may appeal to their college management in such cases for further review. The college review committee may decide to forward the candidate's file to the university level or it may return the file to the candidate. The candidate may appeal any such decision to the university appeal committee (see section 35).

35. Promotion Procedure for a Sitting Dean

When a dean or an acting dean of a college requests promotion, the promotion portfolio should go directly to the Academic Affairs Office. The portfolio should arrive no later than the deadline for the other portfolios (those that go through the normal procedure of having the college promotion committee review). The AA Office will provide the portfolio to the University Promotion Committee (UPC). As the Dean is usually an Associate Professor and the promotion will be for Full Professor, the Chair of the UPC must authorize an ad hoc committee of full professors to review and recommend (or not) the promotion. If there are a sufficient number of full professors (three or more) sitting on the UPC, the UPC may review the portfolio. In the event that an Assistant Professor is fulfilling the role of Dean, the UPC is not required to have an ad hoc committee.

36. KIMEP University Promotion Committee

Colleges shall nominate faculty to create a University Promotion Committee composed of at least eight members (2 members from BCB, 2 members from CSS, 2 members from CHE and 2 members from SL) including national and expatriate faculty representing diverse academic interests and gender. Members may be nominated from any professorial rank. Members are required to sign a KIMEP University FCP confidentiality agreement (please see Appendix VI-3). This committee shall elect its own Chair and record its own minutes. The minutes will be kept in Academic Affairs office files. The Chair's responsibility is to provide the VPAA with the original signed and dated minutes. The purpose of the standing University Promotion Committee is to review the decisions of the college level Promotion Committees to ensure that the college level committees followed due process in arriving at their conclusions. Discussions of this Promotion Committee normally are held without the attendance of the administrator they advise except when the attendance of the VPAA may be requested to provide counsel. Committee members who have previously reviewed an applicant at the departmental or college levels must recuse themselves from voting on that particular candidate's file. Candidates' co-authors or collaborators should avoid serving as Faculty promotion Committee members or as administrative reviewers. Co-authors or collaborators are defined as individuals having jointly authored books, journal articles, grant applications, conference papers, abstracts, conference proceedings (papers must be published in proceedings and ISBNs given) within the past five years. Candidate co-authors and collaborators should declare themselves disqualified to avoid raising concerns about influence on faculty promotion committee decisions. Questions from the Chair of the University Faculty Promotion Committee about whether a faculty member can serve as a faculty promotion reviewer should be directed to the VPAA.

37. University Retention and Promotion Appeals Committee (URPAC). Colleges shall nominate faculty to compose URPAC composed of at least eight members elected annually by each college (2 members from BCB, 2 members

from CSS, 2 members from CHE and 2 members from SL) including national and expatriate faculty representing diverse academic interests and gender. The purpose of the standing URPAC is to deliberately and systematically review the substance of faculty appeals of department, college or university committee decisions and/or concerns expressed by the candidate in four areas: (1) violations of procedures (due process), (2) violations of KIMEP's equitable workplace policy, (3) errors of judgment/evaluation of the academic merit of the candidate's file or (4) violations of academic privilege/ freedom. The candidate shall write a letter explaining the substance of the claims to the VPAA for consideration of the claims. For preparing the appeal letter, the candidate may have access to a redacted portion of the University Promotion Committee minutes (or whatever committee whence the decision). This letter will be added to the candidate's file.

During the first meeting of the committee, a chair should be selected for the academic year. The committee is generally composed of both assistant and associate professors. All members may deliberate the matters before it. If the appellant is an associate professor or an assistant professor requesting promotion to associate professor, only associate professors may vote. However, all members are allowed to deliberate all matters. If there is a dearth of associate professors on the committee, the chair, in consultation with the VPAA will discuss possible actions, including allowing lower ranked members of the committee to vote.

Retention decisions from colleges (generally the decisions to renew or not faculty under second or third year contracts) are to be reviewed by the URPAC. URPAC may review the decision only with an eye to the four areas listed above. Upon initial review, it may decide either to uphold the decision from below, or provide guidance how to remove the defect of the decision-making process and return the matter to the college. If there is a subsequent review of the same matter, URPAC reviewing the same four areas of the matter below, may uphold the decision or recommend any other action.

Promotion decisions.

The appeals committee may recommend final disposition of a case only if the appeal is from the University Promotion Committee.

In reviewing the appeals of faculty from departmental or college level proceedings may affirm the decision or recommend the decision be overturned, in which case the matter is sent back to the college for retention cases or to the next level in the promotion cases (e.g., an appeal at the department level would result either in the appeals committee affirming that decision or overturning the decision and sending the decision to the college level promotion committee).

If the college retention committee is unable to fix the procedural issues noted in the university appeals committee, the appeals committee may recommend the final disposition of the case.

The Confidentiality Agreement signed by the members of the University Promotion Committee does not apply to this body (the appeals committee). Members of the University Promotion Committee may discuss previous deliberations of the University Promotion Committee with members of the University Promotion/Retention Appeals Committee within the official work of the University Promotion/Retention Appeals Committee. The VPAA will send the appeal letter for consideration by the University Retention and Promotion Appeals Committee. The Committee cannot raise or examine any new issues but examines and comes to a decision on only the issues that serve as the basis for the appeal. The University Retention and Promotion Appeals Committee will summarize its findings and make a recommendation about the appeal in a letter addressed to the VPAA. This letter will be added to the candidate's file.

38. University Retention and Promotion Appeals Committee Recommendation and VPAA Recommendation.

The University Retention and Promotion Appeals Committee will make a recommendation about: a) the merit of the appeal and b) a recommendation for or against promotion to the VPAA. The VPAA will make a recommendation for or against promotion based upon the committee's recommendation.

The VPAA's recommendation is final and no further appeal, e.g., to the Provost, President or President's Cabinet, will be considered. The VPAA will notify the President's Cabinet of the Appeal Committee's recommendation and the VPAA's recommendation. In case of a positive recommendation, the VPAA will write a letter recommending promotion and forward the candidate's file to the President and President's Cabinet to formally approve the promotion. In case of a negative recommendation, the VPAA will write a letter describing reasons for a negative result, include this letter in

the candidate's file and return the file to the candidate. A candidate whose application for promotion has been rejected must wait to reapply during the next promotion cycle.

39. Professorial Faculty Promotion Approval. Attaining professorial promotion can only occur through notification from the President of the University and may not result from lack of action or lack of due process by the President's Cabinet. The President's Cabinet will consider any legal or financial obstacles to the promotion. A promotion requires an addendum to the faculty member's current labor contract, not a new offer of employment. Recommendation by the President's Cabinet may be negatively impacted by unforeseen events including: resignation, budgetary reasons, dismissal for just cause, or educational policy shift.

40. Lecturer - Senior Lecturer Promotion Approval. Requests for promotion from Lecturer and Senior Lecturer are considered by the relevant Chair, department committee and the college retention or promotion committee. The recommendations of the department committee and college committee are forwarded by the college Dean to the VPAA who reviews the candidate's file for due process and completeness and then forwards the file to the President's Cabinet for legal and financial review. The President's Cabinet will consider any legal or financial obstacles to the promotion. The President's Cabinet will recommend whether individual lecturer faculty members will be retained for continuing employment. Recommendation by the President's Cabinet may be negatively impacted by unforeseen events including: resignation, budgetary reasons, dismissal for just cause, or educational policy shift. Attaining promotion can only occur through notification from the President of the University and may not result from lack of action or lack of due process by the President's Cabinet.

41. Granting Honorary Degrees. A nominee for an honorary degree to be granted by KIMEP University shall be nominated in writing to the President by any member of the faculty or staff, as well as by members of the Board, Academic Council, alumni, and friends of the University. The nominating document shall include a narrative statement (preferably no more than two pages) outlining the qualifications and/or contributions of the nominee which justify awarding the degree. The nominating document may include any supporting material the nominator wishes to include.

Each nomination should be in writing and contain the full name of the nominee plus the following information:

- a. Date of birth.
- b. Chronological list of academic degrees earned and the institutions granting them.
- c. Chronological summary of vocational achievements.
- d. Other career history or experience that is deemed relevant to the nomination.
- e. List of important publications and/or scholarly activities not enumerated under one of the preceding items.
- f. List of memberships in learned societies, professional association, and civic organizations, etc.
- g. List of significant honors already attained.
- h. Any additional comments that add interest or pertinent information concerning the nominee.
- i. Connections, if any, with KIMEP University.

Nominations usually should be submitted to the AC at least 6 months in advance of the possible date of the awarding of the degree. Upon receiving nominations, the AC will review the qualifications of candidates for honorary degrees, taking particular care to ensure that any candidate under consideration measures up to the standards and philosophy guiding the conferral of honorary degree. The AC will rank order no more than three nominees and forward its recommendations to the President's Cabinet for review. The President's Cabinet will forward the Council's recommendations to the Board. Honorary Doctorate may also be awarded on the authority of the President and with the approval of the Board.

The Board will review the nominations from the President's Cabinet and recommend a nominee to the President, since the authority to confer honorary degrees rests with the President. All matters pertaining to the nomination and selection of honorary degree candidates are confidential.

Categories of achievement for nominees include creative and scholarly work, invention, accomplishment of outstanding merit, and distinguished or exemplary leadership or service. Nominees will have rendered significant service, particularly in activities involving KIMEP University's mission related to business, social science, law, education; government, politics, various international, civic, and community affairs; industry, labor, as well as in philanthropy and sacrificial service or altruism to humanitarian causes.

Honorary degrees may be awarded at official commencements. There are no restrictions on candidates for honorary degrees as to race, religion, sex, or creed. Honorary degrees will not be awarded to members of the Board while they are serving in that capacity.

KIMEP University will confer honorary degrees only after careful consideration of nominees and their achievements. The selection of honorary degree recipients should be made in a manner that will bring honor to both the recipients and KIMEP University.

Recipients of an honorary doctorate receive a citation, an imposition, and the conferment of a diploma. The citation is the public declaration of the reasons that led the candidate to be presented to the President for the degree. The honorary doctorate is conferred to the recipient by the President of KIMEP University with the following pronouncement:

“As President of KIMEP University, by authority of the powers vested in me, I do hereby confer upon you the degree of Doctor of the University, with the title, honor, and privileges that are proper to it.”

The recipient is then handed a diploma.

42. Resignation Notice. Faculty members, by law, must provide a minimum of one month’s notice of their decision to leave the University or not renew their contract, and are expected to time their departure so that it will coincide with the conclusion of their academic responsibilities at the end of a semester or term as appropriate. Resignations during the academic year/teaching term that are effective prior to the end of the academic year/teaching term are not acceptable, and can result in civil actions against the faculty member for damages to students and the costs of replacing the faculty member in the middle of the academic year/term. Cases of extreme emergencies (please see above) that prevent the faculty member from continuing with his teaching assignment, are handled individually with the relevant dean and VPAA.

43. Final Clearance. Final clearance, including payment of salary and compensation for unused vacation days (minus any costs for replacing the faculty member if the resignation occurs during the semester), shall be paid on the last day before termination of the contract upon receipt by staff in the HR of a completed “Employee Exit Check List” from the faculty member and completion of all other required procedures, including submitting of students’ final grades. In case the faculty member has an outstanding debt to KIMEP University, that amount shall be deducted from the final salary payment. A faculty member resigning at the end of Summer, but leaving KIMEP University after graduation, may initiate final clearance in advance, and normally will receive the full summer salary by graduation.

44. Force Majeure. In cases of Force Majeure, or mental or physical disability of the faculty member, or if KIMEP University ceases its activities in the territory of the Republic of Kazakhstan, the parties shall make no claims against each other.

Part VII. Faculty-Student Relations

Faculty members are strongly encouraged to communicate assessment criteria at the beginning of the semester, and to remind students throughout the term, how student performance will be evaluated based on participation and graded assignment criteria.

Faculty members have a responsibility to meet every class period according to the Registrar’s class schedule during the semester or term, and to arrange make-up classes for any that must be missed.

1. Student Class Attendance and Behavior. Monitoring student attendance is part of faculty workload. Successful academic performance, the earning of university credits and successful post-university life are affected by regular student attendance and participation in university courses. Students are expected to participate in every class, whether or not attendance is formally part of the course grade. The University recognizes there will be occasions when students must miss classes that contain examinations, graded assignments, experiments or projects, and general class participation. This policy addresses the issues of student absences, identifies possible accommodations, and outlines both faculty and student responsibilities.

This policy also recognizes that excessive absences will make it difficult if not impossible to evaluate a student’s performance in a class based on attendance and participation or in a class with multiple missed graded assignments.

KIMEP University Faculty Code of Practice

Under these circumstances, an administrative solution should be explored with the student to drop the course(s) before the expiration of the withdrawal period.

All faculty members are encouraged to record student attendance at every class meeting. Especially during the first week of a term, faculty should try to contact any students who miss one or more classes. If those students don't respond, faculty should during the second week alert the coordinators or managers for their department or college and ask them to get in touch with those students. Students who continue to miss classes by the third week should be reported to Student Affairs. Please note, however, that students who miss classes because of documented disabilities are covered by policies established by the KIMEP University Student Support and Learning Center. Students who miss a small number of classes because of a temporary disability, such as an illness, are also subject to these guidelines.

KIMEP University instructors are responsible for ensuring a respectful environment that supports teaching and learning for all course participants. A student disrupting course participants shall be treated as follows:

- a. First Offense: warning from the instructor
- b. Second Offense: dismissal from class. If a disruptive student refuses to leave when the instructor tells him or her to do so, the instructor shall avoid a potential or actual altercation by leaving the classroom and calling University Security to remove the student. If it is an online course, the instructor shall mute that student's microphone and block the student's video display.
- c. Third Offense: appropriate sanctions will be imposed by relevant college disciplinary committee

Disruptive behavior includes, but is not limited to: speaking persistently without being recognized, continually interrupting other speakers, behavior that distracts class members from the subject of consideration, intimidating others, physically threatening others, harassing others, insulting others, physical contact, and refusing to comply with faculty directions. The following expectations can help to minimize disruptive behavior: For online courses, all instructors are expected to provide students with a reminder at the beginning of the term about proper "netiquette" for the online environment.

- a. Instructors and students are expected to arrive on time for all classes. If students arrive later than 10 minutes after the beginning of a class session, instructors may refuse entry and includes entry at final exam sessions.
- b. Students leaving class before the end of a class session must receive the instructor's permission.
- c. Mobile phones and other electronics must be turned off when entering the class meeting.

Disruptive student behavior examples and guidelines should be discussed in course syllabi and reviewed with students during the first class. For online courses, it is important to remind students of Netiquette and what is expected of them when communicating in an online environment. Please see Appendix VII-1 regarding Consultations and Referrals. Please also see Appendix VI-17 for information for faculty and staff regarding disruptive students.

1a. Students' Excused Absences. Anticipated excused absences must be cleared with the instructor prior to the event. Examples of excused absences and the required documentation and verification are offered in the following table:

Anticipated	Required Documentation
Official university holiday	No verification required, calendar from Registrar
Official university function	University official authorizing the absence
Required court appearance	Document from Court
Required military obligation	Copy of orders, or commanding officer
Religious observances	Student initiated request

Emergency or Unanticipated	Required Documentation

KIMEP University Faculty Code of Practice

Extraordinary illness or injury	Physician (student authorization may be required) (Physician's statement must be verified by KIMEP medical center and translated into English)
Death of family member	Written statement by parent or guardian
Closed campus/inclement weather	No verification required
Required employment travel	Written statement by immediate supervisor

Extraordinary personal circumstances require independent verification based on circumstances.

Upon failure of the student to notify the instructor in advance (anticipated) or immediately upon return (emergency), the instructor may consider the absence unexcused. Instructors have the right to ask for written, independent verification of an excused absence before classifying the absence as excused, or before providing any accommodations for the absence.

Students are responsible for identifying anticipated absences at the beginning of the semester in order to give the instructor time to mentor the student about possible accommodations and to provide counseling about whether the student should continue in the class if the number of anticipated absences will be excessive.

The lack of attendance or class participation as a result of excused absences cannot be counted against a student, unless such absences are so numerous as to interfere with the learning process or to preclude an adequate evaluation of student performance. In such situations, an administrative solution should be explored.

Students are responsible for materials covered in classes and for any exams and assignments missed during an excused absence. It is the student's responsibility to verify excused absences and to contact the instructor for completing missed materials and assignments and exams.

For students with excused absence(s), faculty members will provide reasonable accommodations consistent with the number of assignments missed, pedagogy of the discipline, and time frame available. Any makeup accommodations must be at a time and place mutually agreeable to the instructor and student. Accommodations are restricted to material(s) for which the student was originally responsible. Accommodations may include, but are not limited to, the following:

1. appropriate substitute assignments, examinations, quizzes, or projects
2. assignment of individual extra credit equivalent to the missed graded assignment(s)
3. recalculation of grade on remaining assignments

Students who abuse the excused absence policy or provide false documentation are in violation of KIMEP policy on behavioral misconduct and may be subject to disciplinary action including disciplinary probation, academic suspension or dismissal from the University.

1b. Students' Unexcused Absences. Student absences that do not meet the criteria for an excused absence are classified as unexcused.

Faculty members are under no obligation to allow students to make up, or to provide any grading adjustment for missed assignments as a result of an unexcused absence. Instructors may have class policies that lower a student's grade because of unexcused absences. However, since KIMEP is a student-centered institution, faculty may mutually agree to reasonable accommodation based on student circumstance.

Faculty are not to award an Incomplete grade (I) to students who claim excused absences but fail to provide requested verification.

A student who believes a faculty member's attendance policies are inconsistent with university policies or unfair in the given circumstances should discuss the situation with the instructor. If this discussion does not resolve a disagreement between the student and the instructor, then the controversy can be appealed to the Chair of the registered course or, in the absence of the Chair, to the Dean of the school or college.

Faculty members are strongly encouraged to maintain a written record for student attendance.

2. Faculty Responsibilities for Syllabus Information

Faculty members are required to provide a course syllabus. They must post them on the **Moodle course site (for on-line courses) and on the L-drive at least one week before class begins**. In the event of course rescheduling or changes in instructors of record, the course syllabus must be provided and posted by the last day of the add/drop period as scheduled by the Registrar. Each syllabus must follow the standard format and information needed as illustrated on the KIMEP website Faculty Portal (KIMEP.kz>Faculty>Faculty Profile) (<http://www.kimep.kz/ext/faculty-admin/profile>)

The syllabus must explain what effect, if any, attendance and participation will have on the student's course grade. The syllabus must identify fixed dates for examinations and fixed due dates for graded assignments. Students must be given at least one week's advance notice of any change in those dates. First and second midterm exam dates as well as the final exam date must follow the Academic Calendar and final exam schedule provided by the Registrar.

Faculty shall include in the syllabus information regarding academic accommodations for students with disabilities. Faculty shall provide attendance accommodations to students with disabilities based upon a current approval letter from the KIMEP Student Support Services and Learning Center.

3. Online Courses

When courses are online,

- a. You should prominently display syllabus, netiquette policy (if available), contact information on the course Moodle page.
- b. You should list on the L-drive the syllabus as well as the class and office hour zoom information. This is especially important in the beginning of the semester when we might have students changing classes and not yet be on an attendance sheet.
- c. Make sure that the student understands that they must use KIMEP email in order to get all class information
- d. Be sure that your students know whom to contact in case of any technical difficulties.
- e. You are encouraged to record the class sessions. In order to do this, you should indicate that you will be doing so, or may opt to do so in your netiquette document and in your syllabus. Students should be told to address any concerns they have to you at the beginning of the course.
- f. Faculty must use their camera during class time (student use of cameras is to be decided by faculty).
- g. You should have either as a separate document of one page, or one page of your syllabus, the deadlines of major homework assignments and all assessment dates. This will make it easy for the student to print out the schedule of major events of the class and, one hopes, reduce the questions that always arise.
- h. You should have an etiquette document prominently displayed that provides guidelines on behavior in the online environment.

4. Assessment Policies and Procedures

a) Preparation of Assessments

Student assessments are aligned to the course learning outcomes. There are three main assessments in each course delivered at KIMEP. There are two types of assessments that are available for faculty to measure student learning outcomes. These include objective assessments such as multiple-choice exams or quizzes. These types of assessments are considered lower-level assessments as they are based on recognition learning. KIMEP University endeavors to ensure that most assessments are based on a higher level of learning that involves recollection. These types of assessments include papers, oral presentations, research projects, theses, dissertations, etc. Faculty must have two different yet equivalent assessments for each course outcome to ensure that students who miss the scheduled assessment period and schedule a make-up assessment will take a different but equivalent assessment. Department Chairs and/or Associate Deans are responsible to oversee that faculty follow this process and that no particular assessment is repeated.

b) Assessment Security

Each faculty is responsible to ensure the security of each of their assessments. Teaching Assistants or non-designated staff may not view any assessment prior to the delivery for the assessment to the students. Faculty will keep assessments in a secure location that cannot be accessed or hacked. Faculty will ensure that no students or proctors will have any phones or smart watches or other devices in the assessment environments. The faculty will proctor any assessments given during the assessment period. Proctors are expected to be walking around and monitoring test administration. No grading or working on the computer is allowed. After collecting all assessments from students, the faculty/proctor will ensure that these assessments are kept in a secure location and not be accessed by anyone but the faculty member. Only after grading can the student receive individualized feedback from the instructor.

c) Grading Assessments

Grading is one way to measure knowledge, application, analysis, comprehension, synthesis, and evaluation. Generally, the more students communicate (writing or verbal), the more information instructors can receive that make their grading more valid and reliable. Many faculty members, especially new instructors, feel uneasy about assigning course grades. How faculty members view grades depends a great deal on their values, assumptions and educational philosophy. Most faculty see grades as a measure of how well a student has mastered information, skills, and critical reasoning, some faculty members include other factors such as classroom participation, effort, or attendance.

There are two general approaches to assigning grades: criterion-referenced grading and norm-referenced grading. In criterion-referenced grading, students' grades are based on an absolute scale established by the instructor before the assessment is given. If all students in a class achieve 73 percent or higher on an assessment, they will earn A's or B's. Conversely, if none of the students in a class score better than 73 percent, then no one in the class earns a grade higher than B-. Criterion-referenced grading meets three important standards: any number of students can earn A's and B's; the focus is on learning and mastery of material; final grades reflect what students know compared to teacher's standards. Grading in this manner does not guarantee that grading in the class occurs on the bell curve. However, faculty utilizing this method are encouraged that their evaluation of students does not distribute all grades at the extreme.

Norm-referenced grading, often called grading on a curve, measures a student's achievement relative to other students in the class. Grading in this manner will put students in competition with their classmates and limit the number of high grades. Research indicates that normative systems such as grading on the curve can reduce student's motivation and increase the likelihood of academic dishonesty and evaluation anxiety. However, utilizing norm-reference grading ensures that grading on the bell curve occurs.

5. Policy on Online Assessments (AC approved August 2020)

1) Faculty instructors should design their online course assessments understanding the strengths and limitations of the online environment. While the University is operating in distance learning mode, faculty are responsible for adjusting their learning assessments as necessary to function in an online environment.

2) **Deadlines in the Online Environment:**

- a. As in face-to-face teaching, the exact deadline and amount of time allotted for completion of assessments must be made clear to students well in advance of the assessment. For major assignments, this should be announced in the course syllabus at the beginning of the term. All assessment deadlines should be clearly announced and appear in the Moodle course calendar. Where scheduling adjustments are necessary, students should be given reasonable notice of changes.
- b. In designing assessments for online teaching, instructors should take account of the time it may take students to access and download material; to complete assigned tasks, and to submit material in an online environment. Instructors should be aware of the potential for technical problems at each of these stages and make accommodations as necessary.
- c. Faculty are advised to build a grace period into deadlines to accommodate delays due to technical issues.

3) **Technical Issues that Disrupt Assignment Completion:**

- a. Technical problems that interfere with a student's ability to complete an assignment in a timely manner should be accommodated by faculty and may be a valid reason for appeal of grade. These problems may include, for example: Difficulty accessing or downloading course material; slow-loading pages; frozen screens; failed uploads, etc.

- b. In case of technical problems that interfere with a student's ability to complete his or her work according to course requirements, the student should: a) make note of any observable issue related to the problem, collecting evidence, if possible (screenshot, video recording with mobile phone, writing down error messages, etc.), and b), immediately contact the course instructor (and no later than 24 hours after the problem is observed), to report the issue. Once contacted, the instructor should provide to the student guidance on resolving the issue in a manner that ensures the student is not disadvantaged by technical problems beyond the student's control. Faculty should respond to such inquiries as soon as possible, and certainly within 48 hours of the inquiry.
- 4) **Appeal Based on Technical Issues:**
- a. Whether online or offline, students have the rights of appeal outlined in the Grade Appeal policy in the KIMEP University catalog. When students are completing assignments in an online environment, technical issues that interfere with a student's ability to complete an assignment may constitute a valid reason for appeal if the instructor and student are unable to agree on reasonable accommodation in cases of technical problems.
 - b. The right of appeal precludes faculty from penalizing students for initiating appeals, regardless of whether the appeals prove successful or not.
 - c. Notwithstanding the prohibition on penalizing students for appeals, a student's exercise of the right of appeal does not preclude faculty from awarding a lower grade if such would be warranted under the circumstances, e.g., the review discloses that the student committed an act of plagiarism, or that the original grade was too high based on a mathematical error.

6. Feedback Policy

KIMEP University is committed to providing timely and appropriate feedback to students on their academic progress and achievement, thereby enabling students to reflect on their progress and plan their academic and skills development effectively. Feedback, and acting on this feedback, is, therefore, part of the active learning process throughout a student's course of study. Faculty are responsible for providing meaningful feedback in a timely manner; students are responsible for receiving and responding to feedback. The following guidelines reflect these principles:

- 1) In addition to being assigned a numerical score and/or letter grade, all student work submitted for a grade must be provided meaningful feedback from the instructor. While the feedback need not be lengthy or detailed to qualify as "meaningful", it must be sufficient to help show the student what was done well and what needs improvement. Thus, a single sentence might be sufficient for a short quiz, while editing marks and a paragraph or two of commentary might be needed for a paper.
- 2) a) Assignments and mid-terms should be graded or other feedback given and returned in a timely manner, typically within seven (7) days of the submission deadline.
b) An instructor, whose class has more than 30 students, has an additional seven (7) days for grading and giving feedback. However, please note 3.4) below that requires that feedback on an assignment be distributed to students prior to giving any subsequent assignment extending from that assignment. In the event an instructor is unable to return assignments by this deadline, notification and an adjusted deadline should be provided to students.
- 3) In cases where performances on an assignment depends upon feedback from a previous assignment, feedback on the first assignment must be provided with enough time for the student to absorb and respond to that feedback before the student is required to turn in the subsequent assignment.
- 4) Recognizing that certain assignments may run parallel and, upon occasion, the second assessment and a final project or other assignment may be crowded near the end of the semester, exceptions to 3) above are allowed if stated in the course syllabus at the beginning of the semester.

7. Grade Appeals

Grade Appeals Information Should be in the Syllabus

The grade appeals in the syllabus should conform to the one found in the most current catalog. For 2021-2 the policy may be found on page 47. The excerpt from that catalog is reproduced below for your convenience, however, the current catalog should be consulted for up-to-date information.

GRADE APPEAL

A grade assigned by an instructor is only subject to the appeals procedure if:

- There was a clerical/administrative error in the calculation and/or assignment of the grade;
- The student's grade does not adhere to the syllabus assessment grading system

Situations of proven academic dishonesty are not eligible for this process.

Students may appeal any graded assignment given by the instructor. Students are encouraged to meet with faculty any time during the semester if they have inquiries or questions.

There are five sequential steps in the grade appeal procedure:

1. Student submits an online inquiry form (student portal/forms/grade appeal) regarding the grade(s) in question for the course no later than 72 hours after official posting of the final course grade;
2. The student's online inquiry form will be automatically sent to the instructor to respond utilizing the online inquiry system. This response should be made within two working days of receipt of the student inquiry. If the instructor's response to this inquiry resolves the student's concerns, the process ends at this point;
3. If the student believes that the faculty response to the inquiry does not resolve her concerns, the student has the right, within two working days, to complete a further online grade appeal form which will be automatically sent to the Chair of the College's grade appeal committee who will convene a meeting with the committee members to review the student's grade appeal;
4. The College's grade appeal committee will review the information and documentation from both the instructor and the student and if needed, will request further documentation or testimony from the instructor and/or student;
5. The College's grade appeal committee will determine the final outcome of the student's grade appeal.

That decision is not subject to further appeal

During this process, students are responsible for clearly stating the reason(s) for their inquiry and appeal, for providing documentation such as graded assignments (if they were returned to the student), and for providing other documentation and information requested by the committee. Faculty are responsible for providing course documentation relevant to the appeal (including graded assignments if they were not returned to the student) and other documentation and information requested by the committee. All parties are required to conform to the norms and policies of KIMEP University.

PLEASE NOTE: While every attempt will be made to conclude the appeals process quickly, the process is dependent upon the presence of faculty on campus; in some cases, an appeal may not be decided until early in the semester after the appeal is submitted.

In addition to the above, grade appeals based on technical glitches impairing timely submissions of assessments may be entertained (see paragraph VII-5 4) above).

8. Student Advising. KIMEP has implemented a system of Academic Advising that includes assistance from the program coordinators of each college or school as well as from members connected with the Student Support Learning Center. Academic Advising is an ongoing process throughout the entire period that a student is enrolled in any KIMEP program. Academic Advising begins with the program coordinators in the respective college or school. In addition, an administrative staff member connected with the Student Support Learning Center can also offer advice about the selection of courses and will assist students to successfully meet graduation requirements. Academic Advising essentially means coordinators and, where appropriate, SSLC members meeting with students before registering for classes, and giving quality consultation (advice) on:

- a. What courses advisees should be taking the following semester;
- b. How many courses to register for (determining semester workload); and
- c. Understanding semester/graduation requirements for a degree as well as personal preferences.

Academic Advising also explains registration procedures, academic rules and regulations of KIMEP, examination rules and other academic issues, or help advisees contact an appropriate office. In addition, academic advising can support discussions about career plans and career paths.

9. Student Affairs Communication, Mandatory

The Student Affairs office monitors student progress and retention. Their efforts include asking for cooperation of the teacher at certain times of the semester and for certain courses.

a) According to the Retention Strategic Plan approved by the President's Cabinet and the Order #124/VPAA of August 12, 2019, all faculty who teach all General Education and some Program Foundation Required courses should submit a report on students' attendance, performance and skills deficiency (if any) after five weeks of study.

In order to initiate intrusive advising and connect students to an academic support program, we will appreciate, if you follow the link below and identify all potential at risk students based on their performance, attendance and/or skills deficiency.

According to the Retention Strategic Plan, approved by the President's Cabinet and the Order #124/VPAA of August 12, 2019, all faculty who teach General Education and a number of Program Foundation required courses should submit an online attendance report on a weekly basis.

In order to check attendance using online format, please do the following:

1. Enter the faculty portal
2. Click on the attendance sheet link
3. Choose online attendance sheet option
4. Fill in and submit the attendance sheet.

Thank you for your cooperation!

10. Student Affairs Communication, Voluntary

During the semester, if you have a concern regarding a student, either because of his/her behavior, circumstance or academic performance, and you do not feel your efforts to assist the student are effective, you should contact the head of Student Affairs and discuss what other services are available through their office.

Part VIII. KIMEP Academic Council

1. The KIMEP Academic Council. The purpose of the AC is to advise the VPAA on the management of academic affairs of KIMEP University.⁵ The AC is the collegiate body of KIMEP University that gives Faculty Members of KIMEP University a formal mode of communication to express to the VPAA and to the President's Cabinet the considered recommendations of the faculty. Inasmuch as the explicit authority of the AC is not exclusive, it has the responsibility to consider any issue that may be deemed to come within the term "Academic Affairs".

2. The Responsibilities of the AC

The Responsibilities of the AC shall include:

- a. Preliminary approval of new academic programs of KIMEP University and developing recommendations for further approval by President's Cabinet and Board of Directors;
- b. Develop faculty hiring plans and preliminary approval of professional development plans for faculty and researchers for further approval by the President's Cabinet;
- c. Participate in discussions on budget, strategic planning, enrollment and FCP;
- d. Participate in elaboration of KIMEP University Catalog to be further approved by President's Cabinet;
- e. Confer academic degrees to students who have completed educational programs of their choice; and

⁵Charter on the Non-Profit Joint Stock Company "KIMEP University" (NJSC "KIMEP University"), approved at the General Meeting of Shareholders of "KIMEP University" Non-Profit Joint-Stock Company ("KIMEP University NJSC"), on May 30, 2019 in Almaty, Minutes No. 27 [KIMEP University Charter], Art. 6.4.1.

- f. Confer honorary degrees and academic titles.

3. Summer Academic Affairs Oversight Committee

The Summer Academic Affairs Oversight Committee (SAAOC) is established annually to address urgent matters that arise at any time between the end of the Spring semester and the beginning of the Fall semester. Urgent matters are those that cannot wait until August to be decided. All issues and concerns that require approval/ recommendation of AC and the Admission and Scholarship Committee can be addressed and resolved by the SAAOC. The SAAOC will act with power to continue the work of the AC and Admission/Scholarship Committee during the Summer period between KIMEP's annual graduation ceremony and the start of Fall semester classes. Its decisions are reviewed and ratified or amended at the first meeting of the AC in the Fall semester. The purpose of this review is to allow for the introduction of what has gone on in the Summer, while the ability to amend will allow further deliberation of the SAAOC if needed.

The SAAOC shall consist of the following members: a Chair appointed by the VPAA, Dean or designate of BCB, Dean or designate of CSS, Dean or designate of CHE, Dean or designate of SL, Director or designate of Student Recruitment & Admission, Registrar or designate, Director of Financial Aid or designate, KSA student representative, and an Academic Affairs staff member or Project Manager (non-voting recorder for the committee). This committee should ordinarily meet at least once per month during the Summer period, but shall not be required to do so in the absence of any urgent matters as defined above.

Part IX. Conflicts, Conduct and Conflict Resolution

1. Conflict of Commitment. A Conflict of Commitment occurs when a faculty member engages in Non-University Activities that impede or compromise the fulfillment of the normal duties of their employment. The following activities are examples of activities which give rise to a Conflict of Commitment:

- a. When a faculty member uses any University resource for non-university activities, unless the use is minimal and reasonable or has otherwise been previously authorized by the relevant responsible supervisor.
- b. When a faculty member engages in non-university activities such as employment at another university during normal work hours at KIMEP University; (Monday – Friday, 9:00 – 18:00)
- c. When a full time, part-time or temporary faculty member's involvement in outside professional activities or other work obligations is such that it impedes their abilities to carry out responsibilities owed to KIMEP University.

When a faculty member intends to engage in any activity that may give rise to a Conflict of Commitment, whether or not that activity is within the scope of the faculty member's work at the University, the member must disclose that activity and obtain the prior written approval of their supervisor. In any event a staff member who intends to teach at another institution must declare this activity and obtain the approval of their supervisor. Faculty members who are in doubt as to whether an activity constitutes a conflict of commitment should consult with their Chairs or other supervisors as appropriate.

2. Conflicts of Interest. A conflict of interest can be defined as any situation in which an individual is in a position to exploit their professional or official capacity at KIMEP University in some way for personal benefit (including benefiting friends or relatives), or could be reasonably perceived to be in a situation where personal benefits could occur. As each situation depends upon its specific facts, the University has not attempted to develop an exhaustive list of 'Conflicts of Interest'. Rather, faculty members must conduct themselves at all times with the highest ethical standards in a manner that will bear the closest scrutiny. Faculty members who believe they may be involved in an actual or potential conflict of interest should declare that conflict and discuss the situation with their department head, supervisor or Dean. In some instances, protocols may be developed to properly remove or control the conflict of interest. Where this is not possible, faculty members will be required to refrain from or cease the activities that raise a conflict of interest.

3. Sexual Harassment. Sexual harassment is behavior of a sexual nature by a person:

- a. who knows or ought reasonably to know that the behavior is unwanted or unwelcome; and
- b. leads to or implies job or academically related consequences for the person harassed; or

- c. would be viewed by a reasonable person experiencing the behavior as interfering with the targeted person's participation in a university related activity or as creating an intimidating, humiliating or hostile environment for the targeted person.

Examples of sexual harassment include, but are not limited to:

- a. Actual or attempted rape or sexual assault
- b. Pressure for sexual favors
- c. Deliberate touching, leaning over, or cornering of another person
- d. Gestures or looks that imply sexual contact
- e. Letters, electronic communications, and other materials of a sexual nature
- f. Turning work discussions to sexual topics

KIMEP University treats sexual harassment as a serious matter. Faculty members and staff who engage in sexual harassment can expect to be disciplined up to and including termination of their employment. Sexual harassment is handled administratively. Depending upon the severity of the incident(s), a violation or violations is/are normally reviewed by a Disciplinary Inquiry Committee established by the Dean or VPAA. The findings of the enquiry may result in disciplinary action being taken and recorded in the faculty member's personnel records. Severe violations, or repeated violations, are referred to the VPAA and are likely to lead to termination of the faculty member's contract. See section on Disciplinary Hearings process.

4. Professional Misconduct and Neglect of Duty. "Professional misconduct and neglect of duty" includes, but is not limited to, actions such as:

- a. Refusal to fulfill contractual obligations such as: teaching, grading, advising, proctoring, and committee work.
- b. Non-compliance with Registrar, Accreditation, University Quality Assurance and Quality Enhancement documentation and reporting deadlines.
- c. Leaking of confidential information, such as student data.
- d. Refusal to abide by the academic policies of KIMEP
- e. Absence from classes without approval of the line supervisor or without proper notification to the students, or without arranging make-up classes (except for emergency situations)
- f. A chronic pattern of arriving late to classes, that disrupts the educational process
- g. Falsification of academic and professional credentials
- h. Plagiarism
- i. Falsification of research information
- j. Abuse of internet privileges (e.g., sending inappropriate or libelous e-mails to faculty e-mail addresses or list serves)
- k. Contacting or attempting to contact a member of a disciplinary, retention, promotion or other committee in order to influence the decision of the committee (including questioning possible conflict of interest of the member or other member of the committee)

Professional misconduct is handled administratively. Depending upon the severity of the incident(s), a violation or violations is/are normally reviewed by a Disciplinary Inquiry Committee established by the Dean or VPAA. The findings of the inquiry may result in disciplinary action being taken and recorded in the faculty member's personnel records. Severe violations, or repeated violations, are referred to the VPAA and are likely to lead to termination of the faculty member's contract. See section on Disciplinary Hearings process.

5. Personal Misconduct. "Personal misconduct" includes, but is not limited to:

- a. Criminal acts such as assault of a faculty or staff member or a student
- b. Bullying and other forms of mental and / or physical harassment including behaving aggressively and / or in a manner likely to cause distress to others
- c. Fighting while on KIMEP premises
- d. Willful destruction or stealing of KIMEP property or facilities
- e. Persistent harassment (verbal, physical, racial, religious or sexual)
- f. Acts while under the influence of alcohol that threaten the integrity and image of the institution
- g. Distribution of confidential, slanderous or libelous information that tarnishes the image of the institution and disturbs peace and harmony within the KIMEP community

- h. Sale of grades
- i. Sale of examination papers
- j. Other unethical behavior as stated in the Labor Law of Kazakhstan

Personal misconduct is handled administratively. Depending upon the severity of the incident(s), a violation or violations is/are normally reviewed by a Disciplinary Inquiry Committee established by the Dean or VPAA. See section on Disciplinary Hearings process. The findings of the enquiry may result in disciplinary action being taken and recorded in the faculty member's personnel records. Severe violations, or repeated violations, are referred to the VPAA and are likely to lead to termination of the faculty member's contract.

6. Gross Misconduct. "Gross misconduct" is defined as misconduct serious enough to destroy the employment relation between the supervisor and the faculty or staff member and/or to make any further working relationship and trust difficult, if not impossible. "Gross misconduct" includes, but is not limited to, cases of:

- a. theft;
- b. fraud, including deliberate falsification of records;
- c. complicity in student cheating;
- d. fighting;
- e. assault on another person (including sexual assault);
- f. bullying and harassment of a student or a member of faculty or staff (including sexual harassment) (see also section on Workplace Safety and Security);
- g. harassment on the grounds of sex, marital status, disability, race, ethnic origin, nationality, age, religious or political beliefs or socio-economic background;
- h. deliberate damage to the institution's property;
- i. incapability at work through alcohol or being under the influence of illegal drugs;
- j. negligence which causes or risks unacceptable loss, damage or injury;
- k. continued refusal to carry out a reasonable request or instruction;
- l. willful and/or confirmed breach of safety rules;
- m. disregard of or failure to comply with the provisions of a final written warning for repeated misconduct.

Gross misconduct is handled administratively. When a faculty member is accused of "gross misconduct", the President or their delegate, may, following consultation with the head of HR and the legal advisor, suspend the faculty or staff member, pending a hearing to consider the appropriate action to be taken. A Discipline Inquiry Committee is established by the Dean or VPAA. See section on Disciplinary Hearings for hearing process. The findings of the inquiry may result in disciplinary action being taken and recorded in the faculty member's personnel records. See section on Disciplinary Hearings process.

When a faculty member has been found guilty of gross misconduct, then more serious forms of disciplinary action may be taken. These further actions are:

- a. Demotion and/or transfer to another job, place of work or department. Where forms of action other than suspension or dismissal are contemplated, the faculty or staff member and their representative, if any, will be interviewed by the VPAA or delegate.
- b. Dismissal with notice (following failure to heed a final written warning);
- c. Summary dismissal;
- d. In exceptional mitigating circumstances, a final written warning following gross misconduct.
- e. The penalty for collusion in student cheating shall always be summary dismissal.

7. Discipline: Culpable Conduct. Faculty members who have engaged in misconduct, or whose poor work performance is due to culpable behavior on the part of the staff member, will be subject to a progressive discipline process.

Where the University believes that a faculty member may have engaged in misconduct or is not living up to their professional and work responsibilities due to culpable behavior, the University will first investigate the circumstances surrounding the allegations. Faculty members are expected to fully co-operate with any such investigation.

As part of this investigation, the University will provide the faculty member with the opportunity to present the facts of their case and to respond to the issues that the University may rely on in determining whether discipline is required

and the extent of the disciplinary penalty. A hearing will follow the process described for Faculty/Administrator Disciplinary Hearings.

8. Discipline: Non-Culpable Conduct. There are times when poor work performance is not due to any blameworthy conduct on the part of a staff member, but may simply be the result that the faculty member is unclear as to how to successfully perform expected responsibilities or duties or lacks the necessary skills to successfully carry out the responsibilities and duties of the position to the standards expected by the University.

Responses to non-culpable behaviors include: verbal warnings, coaching and counselling sessions with respect to conduct or work performance. Non disciplinary responses will be maintained on the supervisor's working file, and may be used to substantiate references, or as an aide memoire for issues that may be relevant in the performance evaluation, and to substantiate whether non disciplinary efforts were made if there should be discipline imposed for subsequent offences. In these circumstances the University will advise post probationary faculty member in writing that their performance is not acceptable so that the staff member is aware of the seriousness of the situation. The University will also make sure the faculty member is provided with clarity as to the nature of their duties and responsibilities and provided coaching and counselling opportunities to improve their performance. The University may also provide additional training. The degree to which the University can provide this support will depend on the University's operational resources, the speed with which the faculty member's performance improves and the seriousness of the employment relationship problems.

Where the faculty member's performance does not improve in a timely manner, and/or operational resources require a more immediate response, the University will terminate the employment of the faculty member for non-culpable reasons.

9. Standard of Evidence Required and Time Frame: For all disciplinary investigations, the standard of evidence and persuasion required is proof by clear and convincing evidence. "Clear and convincing" means that the evidence is highly and substantially more likely to be true than untrue; the fact finder must be convinced that the contention is highly probable. In order to meet the standard and prove something by clear and convincing evidence, the party alleging the contention must prove that the contention is substantially more likely than not that it is true.

The accused is presumed innocent until proven guilty and the burden of proof is on the person bringing the accusation, not on the person who denies it.

KIMEP University need not wait for the conclusion of a criminal investigation or criminal proceeding to begin its own investigation and, if needed, must take immediate steps to protect the students and faculty in the educational setting. Any faculty member suspended from duties shall be entitled to receive written notification of the suspension from the President or VPAA within three calendar days (excluding weekends and Public Holidays), setting out the grounds on which the decision to suspend has been taken. A faculty or staff member shall receive full pay while suspended. Suspension would normally take place only when investigation is inhibited or there is a risk to students or other faculty or staff members. The time frame for an investigation, a response sent to both parties regarding the outcome of the complaint; and the opportunity for the parties to file an appeal shall be completed within 20 days following receipt of the complaint.

10. Progressive Discipline Process in Response to Misconduct (with or without Culpability)

After the disciplinary commitment is revealed, faculty or staff member's immediate supervisor demands the written explanation from the faculty or staff member. Such demand and reply should be in writing. Email is acceptable also.

Demanding the written explanation is the integral part of this process and if the faculty or staff member is disciplinary punished for a serious commitment that they factually committed but was not demanded to provide written explanation such disciplinary punishment can be defined as illegal.

In order to document the fact of disciplinary commitment KIMEP may compile the Act of disciplinary commitment right after the fact of such commitment was revealed. Such act is to be signed by the direct supervisor of the faculty or staff member and HR Head.

After the Act of commitment is composed and the written explanation from the faculty or staff member is received the immediate supervisor depending upon the seriousness of the commitment may apply the relevant disciplinary penalty.

If the faculty or staff member refuses to provide the written explanation, KIMEP University management according to cl.2, Article 72 of LC RK should sign the relevant act. (Act of refusal).

The disciplinary penalty according to cl.1, Article 72 of LC RK is implied in the form of the act of the employer, in other words in the form of an Order (this is usual practice). KIMEP should provide the faculty or staff member with the copy of such act within three working days from the moment when such act was issued (cl.6, Article 73 of LC RK). If the faculty or staff member refuses to accept the copy of the Order the relevant note shall be made in the Order (*"The employee has refused to accept the copy of the Order"*).

The disciplinary penalty according to cl.1, article 74 of LC RK can be applied to the faculty or staff member not later than one month from the moment when the employer (including faculty or staff member's direct supervisor) has revealed the commitment. According to cl.2 of aforementioned Article disciplinary punishment cannot be applied later than six months from the moment of commitment.

To review, the disciplinary scheme is:

- a. The faculty or staff member commits disciplinary offence (was late for work, did not do the work, etc.);
- b. The line supervisor writes an Act of Disciplinary Commitment to document this event (if applicable);
- c. The line supervisor requests a written explanation from the faculty or staff member (maximum of 72 hours to receive explanation from faculty or staff member) in order to find out all circumstances and to get the faculty or staff member's version of the event
- d. After the line supervisor receives the written explanation from the faculty or staff member, the employer can implement the relevant disciplinary penalty.
- e. A faculty or staff member receiving three reprimands within 6 months may be considered for termination of contract.

11. A Formal Apology represents a means of restoring a relationship except for immoral acts. Requiring the faculty member, administrator or other party to make a formal or written apology to wronged individual(s) may represent a stand-alone approach to a concern, or it could be included as part of a Formal Warning or Letter of Reprimand. Before a required apology is mandated, Disciplinary Committee members and Chairs must review all available information, and will likely require separate meetings with the individuals involved to gain a clear understanding of the concerns. A formal written apology must be copied to the appropriate faculty members and/or administrators. As with formal warnings or letters of reprimand, if placed in the faculty personnel file, formal apologies must be reviewed by the VPAA. Deans and Chairs are encouraged to seek guidance on how to structure the text of a formal apology and to determine if any follow-up support from Academic Affairs is warranted.

12. Termination of Contract by KIMEP University. A faculty member's contract can be terminated at any time during the academic year under one or more of the following conditions and circumstances:

- Repeated absence from class teaching without approved leave/acceptable supporting documents
- In the event KIMEP University ceases its activities (liquidation of the legal entity);
- If the faculty member proves to be unsuitable for the position due to insufficient qualifications, or due to a health condition which does not permit the faculty member to carry out the responsibilities of the position (after the normal sick leave period);
- Absence of the faculty member from work for more than two months due to temporary disability (except for maternity leave and other cases of long-term disability provided for in the legislation of the Republic of Kazakhstan)
- A combination of culpable disciplinary reasons.
- Other conditions as may be stated in the legislation of the Republic of Kazakhstan.

KIMEP University shall have the right to terminate the faculty member's contract in cases of severe professional or personal misconduct, as per the stipulations of the Labor Code of the Republic of Kazakhstan.

13. Appeal of Discipline and/or Termination Decisions. Where a faculty member believes that they were not guilty of the offense, which resulted in discipline, or believes that the disciplinary decision was too harsh in any of the circumstances of the case, they may appeal the disciplinary decision to the VPAA. When the person makes an appeal to the VPAA, the appeal should be heard by an ad-hoc University disciplinary appeals committee. The appeal hearing will follow the process described for Faculty/Administrator Disciplinary Hearings.

In the case where the situation was termination for non-culpable reasons the faculty member may also appeal where they believe their performance was to standard, and/or where the faculty member believes they were given inadequate support and time to improve.

A faculty member may ask another member of the University staff to assist them with the appeal up to and including making any representations on the faculty member's behalf.

14. Disciplinary Records. Any discipline will be recorded on the faculty or staff member's personnel file. After six months the disciplinary record expires, provided that the faculty or staff member did not have any further disciplinary penalties.

15. Appeal – Non-Disciplinary Issues. In addition to the right to appeal disciplinary decisions, any faculty member who believes that the University has acted in a manner inconsistent with the provisions of this FCP and/or their individual employment contract, also has a right to appeal to the VPAA.

In every instance, with the possible exception of cases of an allegation of sexual harassment or discrimination, a faculty or staff member shall first meet and attempt to resolve the issue with their immediate supervisor. If that does not resolve the issue, the faculty or staff member must put their appeal in writing to the VPAA, specifying what this issue and providing appropriate references to University policies and procedures, their employment contract and/or provisions of this Code of Practice and law.

All faculty appeals shall be reviewed and investigated by a University ad-hoc appeal committee, depending upon circumstances, and a recommendation made to the VPAA. The VPAA will recommend further action as appropriate to the President's Cabinet, based on the appeal and the investigation, or may request further investigation and discussions.

The decision of the President's Cabinet on any appeal is final and binding.

16. Faculty/Administrator Disciplinary Hearings. The following format outlines the sequence of events, which should be followed, once a decision has been taken to form a Discipline Inquiry Committee.

- a. Once the decision has been taken to initiate the inquiry procedure, the faculty member concerned should be informed in writing of:
 - i. the nature of the complaint and the nature of the hearing;
 - ii. the place, date and time of the hearing;
 - iii. their right to be accompanied by a representative.

This should be at least four calendar days before the date of the hearing in order to allow the faculty member to prepare their case.

- b. A thorough investigation should be made to determine all the relevant facts. It is important that this takes place as soon as possible following the alleged misconduct. Copies of any statements taken from other faculty or staff members, which will be used at the hearing, should be given to the faculty or staff member at least three calendar days before the hearing.
- c. Once all parties have been assembled for the hearing, the procedure to be followed should be:
 - i. Those present should be introduced to the faculty or staff member and an explanation given for their attendance;
 - ii. The precise nature of the alleged misconduct by the faculty or staff member should be stated;
 - iii. The case against the faculty or staff member should be outlined by the presentation of evidence that has been collected;
 - iv. The faculty or staff member should be allowed to present their case, which may involve the use of evidence and/or the calling of witnesses;
- d. if at any time evidence is brought forward which needs further investigation, the hearing should be adjourned and a time and date agreed for it to be reconvened;
- e. a period for general discussion should be allowed, during which both sides can ask questions and provide explanations of points which have been raised;
- f. if it becomes apparent that there is no firm basis for the allegation of misconduct, or the faculty member has provided an adequate explanation, then the proceedings should be stopped and minutes prepared and signed;

- g. the main points concerning the alleged misconduct and the evidence provided by both sides should be summarized to ensure that nothing has been overlooked by either side;
- h. before reaching a decision, in all but the simplest cases, the hearing should be adjourned to allow for a period of consideration of all the points raised, the past record of the faculty member, any extenuating circumstances and any actions previously taken in similar cases;
- i. when a decision has been reached, the hearing should be reconvened. The faculty member should be informed of the disciplinary action to be taken, if any. If disciplinary action is to be taken, the faculty member should be informed of the appeal procedure and how it operates. In the case of warnings, details of expected improvement, time span of warning and the consequences of a failure to improve should also be stated.
- j. When any disciplinary action is taken, written details in the form of signed committee minutes confirming the actions taken, details of the appeal procedure, expected improvements, time span of warning and consequences of failure to improve, should be delivered either by hand to the faculty member or by emailing scanned copy of the letter to the faculty member's KIMEP email address.
- k. For all forms of disciplinary action, it is important that signed minutes are composed made for future reference.
- l. It is the responsibility of the Chair and Dean to monitor the progress of a faculty member, following disciplinary action, to ensure that expected improvements are achieved.

Part X. Particular Academic Concerns

1. Copyright and Intellectual Property. KIMEP University recognizes that copyright is defined as ownership of specific works and the right to control their use. Ownership includes: a) the right to control all forms of copying of the work; b) the right to control derivative works; c) public distribution; and d) public performance and display. Ownership includes control over future revisions of syllabi, online courses, textbooks, etc., and rights and uses at one's home institution versus faculty members who take their works with them when they leave. Copyright law protects original works of authorship fixed in any tangible medium including: books, electronic writing, web pages, notes, lists, private letters, paintings, computer programs, motion pictures and other audiovisual work. Ownership of a work belongs to the author as soon as the work is fixed in a tangible medium. Copyright does not depend upon registration. Copyright will not protect the data that was used or the labor that was required to produce a work.

"In countries party to the *Berne Convention* and in many other countries (including Kazakhstan), the duration of copyright provided for by national law is as a general rule the life of the author plus not less than 50 years after his death. The *Berne Convention* also establishes periods of protection for works such as anonymous, posthumous and cinematographic works, where it is not possible to base duration on the life of an individual author. There is a trend in a number of countries toward lengthening the duration of copyright. The European Union, the United States of America and several others have extended the term of copyright to 70 years after the death of the author." World Intellectual Property Organization (WIPO).

KIMEP University recognizes that faculty owned intellectual property includes materials such as: books, tests, articles, monographs, glossaries, bibliographies, study guides, laboratory manuals, syllabi, tests and work papers, lectures, musical and/or dramatic compositions, unpublished scripts, films, filmstrips, charts, transparencies, other visual aids, video and audio tapes and cassettes, computer programs, live video and audio broadcasts, programmed instruction materials, drawings, paintings, sculptures, photographs, and other works authored by faculty members. A work made in the course of a faculty member's normal duties and responsibilities is the property of the faculty member, who has the right to determine the disposition of such work. Research, publications, books and other scholarly article/works/materials undertaken by a faculty member during their tenure at KIMEP, either in paper or electronic form, shall be the property of the faculty member. Course and course management materials, including materials placed on the L drive for access by students, and any other related materials prepared and/or produced as part of a faculty member's teaching duties at KIMEP are the property of the faculty member. However, copies of the course management material must be filed with the Dean's office so as to ensure continuity in the continued offering of the course, before final exit clearance can be granted to a faculty member (i.e., on final departure from KIMEP).

KIMEP University and the faculty or staff member are joint owners of intellectual property when they enter into a specific agreement to create such intellectual property and such agreement shall define the development obligations and ownership share of each party. The University is the owner of intellectual property only when the Faculty member and

University knowingly and voluntarily enter into a written agreement to specifically create or use such specified intellectual property in exchange for additional compensation. Any intellectual work including patented inventions, IT software, consulting reports, etc., which is undertaken by a faculty member at the behest of KIMEP on an additional payment basis through a separate contract with KIMEP shall be the property of KIMEP.

Development of distance learning courseware, instructional software, and other multimedia works involving significant University resources requires a written agreement between the University and the creator(s) outlining the rights and responsibilities of the parties (see approved agreement in Appendix VI-17).

2. Activity Abroad Academic Study. Faculty are encouraged to develop and implement a wide range of off-campus education studies for credit, including academic exchanges, international study abroad courses, internships, grant/research projects, as a contribution to the mission of the University. Student non-credit activity abroad for purposes such as research activity, conference attendance, grant development or implementation, artistic or athletic activities, may also contribute to the mission of the University.

2a. Examples of Activities Abroad:

1. Independent Experiential Study Courses are designed to give small groups of third year students the opportunity to contribute to faculty research while applying their coursework in an off-campus setting. Academic expectations and evaluation procedures are outlined in a course description, and students sign a contract with their supervisor. With department approval, Independent Experiential Study courses can be eligible for credit toward program completion.
2. Internationalized Courses are designed to provide a short, experiential international component for an already existing undergraduate course. Proposals for internationalized courses are selected based on the added value they provided to regularly listed courses and their alignment with academic program priorities.
3. International Field Courses give students the opportunity to conduct independent field research and to study their subjects in unique settings that cannot be replicated in Kazakhstan.
4. International Scholars and Professors develop formal relationships with programs such as Fulbright to come to KIMEP University for periods between a semester and a year. These international scholars not only provide expertise in language training and other courses, they also bring an international perspective to students in Business, Social Science, Language and Law.
5. Summer Abroad Program Courses are taught in English by KIMEP professors, with some language courses taught by host country instructors. Summer Abroad Courses focus on integrating classroom and experiential learning, which provides flexibility in course design. Courses range in length from 2 to 6 weeks. Most courses include fieldwork, internships, field trips or lectures by local experts that are integral to the course content.

2b. Conditions of Activities Abroad:

1. All student activity abroad, by individuals or by groups, where such travel is sponsored by, conducted by faculty or staff, or officially affiliated with KIMEP University, in whole or in part, must undergo a risk management review approved by the Director of the International Academic Mobility, or designee. It is the responsibility of each Faculty Leader, and each College, to advise students as to this requirement. It is especially important that students traveling individually, through a University exchange agreement or other self-identified program, register with the Office of International Academic Mobility before their departure so they can be contacted in emergency situations.
2. Risk management reviews will include, but not be limited to, health insurance, emergency assistance insurance, such as medical evacuation and repatriation of remains, overseas location risk assessments; and other related matters, such as academic advising review, certification to the Office of the Registrar and Student Financial Aid, and pre-departure risk management orientations.
3. Pre-departure risk management orientations should include a review of a university informed consent form, information concerning local health and safety conditions, emergency contact procedures, and other pertinent country information available through sources such as the U.S. Department of State country travel advisories and the Centers for Disease Control.

2c. Criteria for Activities Abroad:

1. An activity abroad includes any program or activity, credit or non-credit, which is planned, organized and/or led by a KIMEP faculty or staff member, or by a KIMEP University-affiliated organization, and which is held, in part or in its entirety, beyond the KIMEP University campus.
2. An approved activity abroad is one that has been approved by the Office of the VPAA.

2d. Approval Process for Activities Abroad:

1. To be approved, an activity abroad must be recommended by the Faculty Leader’s Chair and college Dean, or the equivalent if the activity leader is not a faculty member. The VPAA will then review the request for academic approval. If academically approved, the Office of International Academic Mobility will review the proposed activity for health and safety considerations. After receiving the recommendation of the Director of International Academic Mobility, the Provost will then review the proposed activity for health and safety approval.
2. A request for approval should be submitted by the Faculty Leader at least six months in advance of the activity abroad departure date and include a document that addresses the following:
 - a. the purpose, objectives, and student learning outcomes of the activity abroad;
 - b. the formal activity description;
 - c. the relevant and appropriate required reading material for enhancing student learning about the topic of the activity abroad in the context of the nation/region (or what specific kinds of materials are being considered) that will advance the objectives, purpose, and learning outcomes of the course;
 - d. a tentative itinerary that will indicate the schedule of activities and how these advance the objectives, purpose, and outcomes of the activity (for those days and times that have not been scheduled, or arrangements confirmed, the faculty member should indicate what types of activities and visits are intended); and
 - e. how the student work that is graded (participation, journal, writing assignments, post-program paper/presentations, etc.) will be structured and organized in the context of this particular activity abroad, as well as in relation to the objectives, purpose, and outcomes of the course.
 - f. All projected costs for students to participate.
3. Post activity abroad review report should be submitted electronically by the Faculty Leader to Academic Affairs within 3 weeks after the conclusion of the abroad activity and include the following:
 - a. Name of faculty member, contact info and department/college
 - b. Dates of travel and Locations, countries visited
 - c. Number of student participants, number of other participants
 - d. Overview of objectives and learning outcomes for the abroad activity
 - e. Description of the preparation activities for the abroad activity
 - f. Upon arrival—a description of the activities of participants (students and others)
 - g. Conclusion and recommendation for future abroad activities
 - h. Any additional information
4. Disclaimer—any activity involving (inter)national travel which is planned, organized, or led by a KIMEP faculty or staff member that does not receive official approval must publicly display a disclaimer specifically disassociating the University from any official or unofficial relationship to such activities.

3. Academic Credits/ECTS. KIMEP University uses a modified American credit system as the foundation for recording student academic progress. Degree requirements are stated in terms of credits to be earned rather than in terms of courses completed. The following table shows KIMEP credits and ECTS equivalents.

Academic Credits	ECTS	Learning Hours
One credit = 15 instructional hours (KIMEP credit)		

KIMEP University Faculty Code of Practice

A three credit KIMEP course is usually equal to 5 ECTS (European Credit Transfer System, which counts learning hours = instructional hours plus guided study preparations/learning activities)	1	27
	2	54
	3	81
A three credit KIMEP course, equivalent to five ECTS, consists of 45 instructional hours and 90 hours of guided study preparations/learning activities for a total of at least 135 hours required to satisfactorily complete the course (stated in terms of European Credit Transfer System-ECTS).	4	108
	5	135

To earn a degree from KIMEP University, a student completes a set of credit requirements for a particular program. The requirements usually have a list of courses that must be taken, a list of elective courses, and a minimum number of credits to be earned. Elective courses are not a requirement but are necessary in order to complete the minimum number of credits. A program can have subparts, with required courses and a minimum credit requirement for each subpart.

Another requirement for graduation is a minimum level of scholastic performance, which is measured by the grade point average or GPA. The GPA is the average of the grades, but weighted according to the number of credits for each course in which a grade is received.

Part XI. Appendices

Appendix III-1 — Glossary of Key Terms

In this FCP the following terms are defined as follows:

- “Academic Affairs” refers to any issues pertaining to academic life of the University including but not limited to: academic programs, faculty hiring and promotion, professional development, strategic planning, research, enrollment, University Catalog and courses, academic and honorary degrees and titles.
- “Academic Standing” refers to a measure of the student's academic achievement relative to their degree requirements, and determines their eligibility to proceed in their academic plan and to qualify for graduation.
- “Academic Year” refers to the period from August-to-August beginning with Fall then Spring and finally summer semester.
- “Adjunct Faculty” refers to faculty members who are retained on limited time period contracts, teach on an as-needed basis, are appointed to teach specific courses and compensated on a course-by-course basis.
- “Associate Deans/Deputy Directors” refers to individual members of the KIMEP faculty who serve as support administrators to Deans.
- “Chair” refers to the chief executive officer of a faculty sub-unit of a college.
- “Code” refers to a set of regulations governing academic administrators and faculty members’ behavior and activities as faculty or staff members of KIMEP University.
- “College” refers to the faculty units headed by a dean.
- “Conduct or behavior” refers to the ways in which administrators and faculty members act toward one another, toward students, toward visitors, toward staff.
- “Contract” refers to a written agreement concerning employment at KIMEP University that is enforceable by authority of the KIMEP President and laws of the Republic of Kazakhstan.
- “Dean” refers to the chief executive officer of each College or School and includes any faculty serving in an acting or interim position.
- “Degree Completion/Graduation” refers to the outcome of how many students within a cohort complete and/or graduate from an institution within 5-year period (bachelors) or 4-year period (masters).
- “Department” refers to a sub-unit of a “College”. A department shall consist of a group of faculty members recognized by the President, the VPAA and the Academic Council as dealing with a common field of knowledge or as having common or closely related scholarly interests.
- “Faculty” refers to individual members of the teaching staff employed by KIMEP University.
- “Program Coordinators” refers to individual members of the KIMEP faculty who serve in academic oversight roles and are responsible for the management of particular graduate or undergraduate study programs.
- “Provost” refers to the Chief Administrative Officer for the University.
- “Research Directors” and “Center Directors” refer to individual members of the KIMEP faculty who serve in administrative roles responsible for the research activities of colleges and report to Deans.
- “Rights” refers to privileges, protections and professional responsibilities connected with mutual relationships between the individual faculty or staff member, opportunities for academic freedom, and the central functions of the University.
- “VPAA” refers to the Vice President of Academic Affairs who serves as the Chief Academic Officer for the University.
- “Academic Program, refers to undergraduate, graduate or doctoral sequence of structured courses prescribed by KIMEP University or jointly with another institution for the fulfillments of the requirements for a discipline of study, leading to a specific degree as a sequence of courses prescribed by KIMEP University or jointly with another institution for the fulfillment of the requirements of a degree, diploma, or certificate, regardless of the location and/or mode of delivery of the courses.

Appendix VI-1 — Retention of Retirement (Pension) Age Faculty

The following should be considered when preparing retention and promotion materials and reviewing them:

Terms of Reference **For KIMEP University Faculty Members**

Effective from December “ 14 ”, 2019.

Each Dean should choose from one of the three options below regarding their faculty members who are of retirement age:

1. The individual will be terminated and replaced;
2. The individual will be terminated and, in cases of faculty, may be hired as an adjunct at the adjunct salary rate with a course load of no more than 3 courses per semester; or
3. The individual, if they express a desire to extend their contract, will be thoroughly reviewed by their college's Faculty Retention Committee for potential retention.

The following information is required to be provided:

Name

College, department

Rank

Degree, University where the degree is earned

If the option #3 is chosen, the college Faculty Retention Committee shall fully and clearly observe the following criteria when reviewing the individual:

1. KIMEP student/faculty ratio for prior Academic Year and current academic year (fall semester);
2. Scholarly activities in the form of research and publications for the past three years: each faculty member should publish at least 1 (one) scientific article per year in acknowledged journals;
3. Irreplaceability: evidenced need for the faculty member's unique qualifications/expertise, which deem the faculty member irreplaceable to KIMEP;
4. Contribution to the well-being of KIMEP: active involvement and input in internal/external extracurricular activities, the University committees, duration at KIMEP, rank, highest degree, University where degree was earned, whether the faculty's highest degree has been nostrified by the MES and for which program(s), etc.;
5. Community service: regular involvement and active contribution to the community in the form of speech engagements, events, publications, etc.;
6. Most recent teaching evaluations and scores for the last three semesters; based on the Teaching Evaluations/Student Perception of Instruction Surveys conducted by QAIR.

Appendix VI-2 — Promotion

Organization of the Candidate's File. An explanation of each section follows below. This procedure is intended to provide necessary details for each level of review and to guide consistent, time-efficient and open process of review for each candidate. For all academic ranks, the candidate is requested to prepare a promotion portfolio consisting of:

- a. Candidate Statement requesting promotion and explaining how the request meets promotion criteria
- b. Detailed academic lifetime resume or CV
- c. Copies of at least three recent publications (or publications submitted for review). Foreign language publications should be accompanied by an English translation, or in the case of lengthy publications, accompanied by an English language abstract.
- d. Evidence of scholarly activity (e.g., conference presentations, seminars, working papers, etc.), for the last three years
- e. Student evaluations for courses taught in the last three years
- f. Peer observations of teaching. A guide for observations of teaching is available from the KIMEP Intranet site.
- g. Evidence of KIMEP and/or community service
- h. Two letters of recommendation from KIMEP colleagues with knowledge of the candidate's teaching, research or service. See referee letter template in Appendix VI-2.
- i. Letters of recommendation from two external reviewers (one reviewer selected by candidate and one reviewer chosen by the Chair in consultation with the department review committee). See referee letter template in Appendix VI-2.
- j. Letters of review by:
 - i. The department promotion committee,
 - ii. The college promotion committee and
 - iii. The Chair.
 - iv. The college Dean

1. Candidate Statement Preparation. This document should address the progress and impacts of research/scholarship, teaching and service contributions. Candidates should give careful attention to explaining how their activities in these areas address the criteria for promotion put forward by department and college Faculty Promotion Review Committees. Structure the candidate statement to follow the outline of work described in the CV. The candidate statement will be read by reviewers in the University community as well as by all external reviewers contacted by department heads. In writing statements, candidates are asked to give attention to the following concerns:

- Beginning with a clear statement requesting promotion to a specific academic rank
- Explaining how one's research/scholarly, teaching and service contributions advance the University's comprehensive definition of about what activities qualify as scholarship,
- Writing the statement in a way that informs the various expert reviewers about one's activities as well as explains the significance of one's work to the non-expert readers who will review the statement:
 - include terms, concepts and problems of interest to expert reviewers
 - include examples and definitions to help non-expert readers
 - discuss the importance of the journals and books containing scholarly contributions,
 - discuss the significance of particular conference presentations
 - discuss the impact of one's research and writing for example by discussing other citations of one's publications
 - discuss the progress of research activities since the most recent degree was obtained was completed
 - discuss where possible research directions will proceed in the near future (remember that many of the internal reviewers at the college and university levels are specialists in other fields and will probably read your materials to find out what you say is significant about your work so avoid using technical jargon)
- Explaining connections between research/scholarly activities, teaching and service to show the impacts of activities as a faculty member (how one's research has influenced the teaching of specific courses or work with students, how one's work specifically contributes to the purposes of the department, the college and the university community and broader societal impacts)
- Describing one's activities in such a way that department and college colleagues can understand achievements, one's research-teaching-service in relation to the department's expectations for the workload

assignment as well as why the work is important (remember that course syllabi, student assignments and service contribution documents will only be reviewed by department colleagues)

2. Candidate preparation of documents about teaching. Candidates for promotion should work with their department colleagues and department head to evaluate teaching. Faculty peer observations and evaluations of teaching are important for evaluating a candidate's teaching effectiveness. Peer observations of teaching are required so that evaluations of candidate teaching are based upon other sources besides end-of-the semester student evaluations. Department Faculty Promotion Review committees should compose written overviews of students' instructor and course evaluation comments and add the summaries to their recommendation letters in order to ensure that the comments adequately represent the diversity of students' comments. Candidate documents related to teaching are usually compiled in collection of instructional materials that provides supporting documents for the discussion of teaching in the Candidate Statement. The materials will include a selected set of syllabi and major assignments (or links to online course materials). Candidates should consult with their head or the Chair of their review committee on possible formats for reporting about teaching activities.

Appropriate language style used to describe faculty workload. Use language that does not include evaluative phrases but simply reports how many courses the candidate was expected to teach and other duties that were required of the candidate.

Conflicts of interest involving candidates and faculty promotion reviewers. Candidates' co-authors or collaborators should avoid serving as Faculty Promotion Committee members or as administrative reviewers. A co-author or collaborator is defined as individuals having co-authored books, journal articles, grant applications, conference papers, abstracts, conference proceedings (papers must be published in proceedings and ISBNs given) within the past five years. Co-authors and collaborators should declare themselves disqualified to avoid raising concerns about influence on faculty promotion committee decisions. If the size of the department requires the participation of co-authors and collaborators to constitute a standing committee, then concerns about conflicts of interest should be raised by the department faculty promotion committee Chair in a letter to the department head and resolved. Questions from department heads, Chairs of faculty promotion review committees and college Deans about whether a faculty member can serve as a faculty promotion reviewer should be directed to the VPAA.

Selection of internal and external referees must follow standard procedures and be fully described in writing. Candidates should suggest the names and contact information for two (2) KIMEP referees and one external referee to their department head. The Chair and department promotion committee shall also select one external referee. The letters sent to KIMEP and external evaluators requesting their assistance should follow the standard format included in this Section. Deviations from this letter must be approved by the VPAA. The template letter is:

Dear Referee:

The Department of [name of department] is evaluating the academic and professional standing of [name of candidate], who is being considered for [examples: tenure and promotion to associate professor; promotion to full professor]. Since you are recognized as a leading scholar in [name of candidate]'s field, we would appreciate your assistance in assessing their record by providing us with a letter of evaluation. KIMEP University values an inclusive view of scholarship in the recognition that knowledge is acquired and advanced through discovery, integration, application, and teaching. Given this perspective, promotion and tenure reviews, as detailed in the criteria of individual departments and colleges, will recognize original research contributions in peer-reviewed publications as well as integrative and applied forms of scholarship that involve cross-cutting collaborations with business and community partners, including translational research, commercialization activities, and patents.

We have attached the following materials to help you in evaluating [name of candidate]'s record: (1) a curriculum vitae; (2) a summary of their workload assignment; (3) a statement in which they explain their scholarly and professional accomplishments, the goals that have guided them, and their future research agenda; (4) copies of departmental and college promotion criteria; and (5) a representative set of the

candidate's scholarship [examples: published materials, working papers, slides, other materials]. If you would like to review additional materials, we would be happy to send them.

In your evaluation, we would appreciate your addressing how well you know the candidate. If you have collaborated with the candidate within the last five years, please describe the nature and extent of your collaborations. Collaborators are individuals who have within the last five years coauthored books, articles, abstracts, or papers; submitted grant proposals; or co-edited journals, compendia, or conference proceedings (papers must be published in proceedings and ISBNs given). Rather than submitting external review letters, collaborators are invited to submit collaborator letters that outline the significance of the independent contributions of candidates. Collaborators also include individuals such as dissertation directors and former coworkers who have worked so closely with a candidate, that some explanations are required about how they can offer independent assessments of the candidate's achievements.

We appreciate your providing a detailed assessment of the specific strengths and weaknesses of the candidate's research record, including especially the significance and impact of their contributions to the literature and to the field, recognition at national or international levels, and promise of sustained scholarly activity. Please state specifically whether or not you recommend that the candidate be awarded [promotion to associate professor; promotion to full professor] on the basis of your evaluation, using the enclosed promotion and tenure guidelines as criteria.

Please note that our criteria for promotion also include consideration of teaching and service. If you have information and recommendations based on these areas, we appreciate your comments related to [name of candidate]'s teaching and service. Your recommendation will be treated with the greatest possible confidentiality permitted by KIMEP's internal policies and RK Labor Law. I am aware that your consideration and evaluation of the work of our colleague will require considerable time, and I greatly appreciate your willingness to assist us in this way.

We also would appreciate receiving a copy of your abbreviated curriculum vitae. Thank you for participating in this review. Please let me know if you have any questions about the process.

Thank you for your consideration,

Name and signature of Chair

3. Selection of qualified members of Department-College Faculty Retention and Promotion Review Committees. Faculty members should serve only if they have an academic rank superior to the candidates, which they review. Only Full or Associate Professors may serve on committees evaluating candidates for promotion to Professor or Associate Professor. Requests for exceptions may be addressed to the VPAA if there is insufficient number of appropriately ranked professors. Promotion to Full Professor must be decided by a mix of Associate and Full Professors (until such time as there is a sufficient number of Full Professors). Faculty of any professorial rank may serve on committees evaluating candidates for promotion to Assistant Professor. Faculty members who concurrently serve on faculty promotion committees at the department, college or university levels must declare themselves disqualified to vote on any candidate's file, which they have reviewed in a prior committee. Committee members or administrators, who have co-authored publications or research grants with candidates for promotion, shall declare themselves disqualified to participate in the promotion review process for such candidates. If the size of the department means that all faculty members are needed to constitute a review committee, then the department faculty promotion review committee must compose a letter, which addresses how the committee members addressed concerns about potential conflicts of interest and bias. Deans are not allowed to sit on these committees.

Appendix VI-3 — Professorial Promotion Requirements for Research/Scholarship Activities

Assistant Professors by Special Appointment. Assistant Professors who began as special appointments cannot use their subsequent PhD Dissertation as one of their publications towards promotion to Associate Professor. Special appointments shall be removed automatically after 1 year. To be promoted to the Associate Professor rank, candidate should have terminal degree. The period of teaching experience counts from the “special appointment” date.

Book Publisher Categories. Book publishers are categorized by KIMEP based on the list from SENSE (2015), a Dutch network of environmental research institutes and graduate schools from ten Dutch universities and institutes. KIMEP colleges may add publishers through their research committees and upon the approval of the university research committee. Please request the current copy through your college research director.

Authorship. All persons designated as authors must meet the criteria for authorship detailed in the following statement:

We [I] certify that we have participated substantially in the conception and design of this work and the analysis of the data [when applicable] as well as the writing of the manuscript. We have reviewed the final version of the manuscript, approve it for publication and take public responsibility for its content. Neither this manuscript nor one with substantially similar content under our authorship has been published or is being considered for publication elsewhere, except as described in an attachment.

Co-Authors. The co-authors of a paper should be all those persons who have made significant scientific contributions to the work reported and who share responsibility and accountability for the results. Other contributions should be indicated in a footnote or an “acknowledgments” section. An administrative relationship to the investigation does not of itself qualify a person for co-authorship (but occasionally it may be appropriate to acknowledge major administrative assistance). The author who submits a manuscript for publication accepts the responsibility of having included as co-authors all persons appropriate and none inappropriate. The submitting author should have sent each living co-author a draft copy of the manuscript and have obtained the co-author’s assent to co-authorship of it. All co-authors should be able to present and defend the content of the scientific publication.

A researcher could claim a legitimate co-authorship if they have made an integrating, overarching and substantial contribution to at least two of the following three scientific research activities: 1) design of the research 2) data collection / data analysis and 3) writing of the manuscript. [Adopted from <https://sense.nl/wp-content/uploads/2021/03/SENSE-recommendations-co-authorships.pdf>]

Substitutions on subsequent promotions. In those cases where substitutions have been made in publications, the number of publications will be considered to have been fulfilled in the submission to promotion for the next rank. For instance, if someone must have five journal articles to be promoted to assistant professor but he has used as a substitute for three of the journal articles a book published by an international publisher for three of those journal articles (consequently having in reality only three publications), for purposes of the next promotion, the faculty member will be considered to have five publications (as he would without the substitution).

1. Bang College of Business Research/Publications Criteria for Promotion

One is appointed an assistant professor if they have successfully received the doctoral degree and published at least one article in a refereed international journal (not predatory).

In order to become an associate professor, the faculty member must have published six articles. At least three articles in refereed international journals since his appointment as an assistant professor and at least three articles in MES approved national or professional organization journals (see the MES RK list for details). SSCI or SCI articles for which compensation was paid to the publisher will not be considered.

The minimum requirements for international journal articles are one article in a publication that can be found in SSCI or SCIE journals with a non-zero impact factor AND two articles published in a journal found in the SCOPUS list. Of the latter, the assistant professor must either have written two articles without co-author or be listed as the first author if it is a co-written article. If the candidate wishes, he may substitute two book chapters for one of the journal articles in the SCOPUS lists. The book must be published by an international publisher.

The national/local/professional journals should be journals listed on the MES approved list or published by a professional organization.

After promotion to Associate Professor, faculty requesting promotion to Full Professor must have a further five international publications and five national/local/professional org. publications. Two articles must be in Clarivate SSCI or SCIE. The candidate must be sole author or first author of these articles. Three other articles must be in Scopus.

In contrast to the criteria for becoming an Associate Professor, there is no substitution by book chapters for any of the articles.

Professorial Promotion Requirements for Research Activities	Categories Available
To Assistant Professor	<ol style="list-style-type: none"> 1. Successful defense/pass of Doctoral Dissertation 2. Refereed International Journal Publication (at least one publication).
To Associate Professor	<ol style="list-style-type: none"> 1. Refereed International Journal Publication (at least three publications in this category as Assistant Professor in the following combination). <ol style="list-style-type: none"> a. At least one (1) publication in Clarivate Social Sciences Citation Index (SSCI or SCIE) journals with above zero impact factors SSCI or SCI articles for which compensation was paid to the publisher will not be considered. b. At least two (2) publications in SCImago &/or Scopus listed journals (at least one of these papers must be first or single authored) Quartiles 1, 2, 3, 4 c. One category 1b article can be replaced by two book chapters (international publishers- Scopus listed). 2. Other refereed (International/ National) Journal Publications category (at least three articles as Assistant Professor in the following combination).

	<p>Ministry of Education Science of RK approved journals and/or journals published professional organizations and/or national level publishers (see list of MES journals).</p>
<p>To Full Professor</p>	<ol style="list-style-type: none"> 1. Refereed International Journal Publication (at least five publications in this category as Associate Professor in the following combination) <ol style="list-style-type: none"> a. At least two (2) publications in Clarivate Social Sciences Citation Index (SSCI or SCIE) journals with above zero impact factors- at least one of these papers must be first or single authored SSCI or SCI articles for which compensation was paid to the publisher will not be considered. b. At least three (3) publications in SCImago &/or Scopus listed journals, Quartiles 1, 2, 3, 4 c. One category 1b article can be replaced by two book chapters (international publishers- Scopus listed). 2. Other refereed (International/ National) Journal Publications category Journal Publications category (at least five articles as Associate Professor in the following combination). Ministry of Education Science of RK approved journals and/or journals published professional organizations and/or national level publishers (see list of MES journals).

2. College of Social Science Research Publication Criteria for Promotion

For promotion from Assistant Professor to Associate Professor, the faculty member must have published three Category 1 journal articles and at least six publications overall. The faculty member must be the sole author of at least two of the articles put forward for promotion.

While an assistant professor, the faculty member must have five publications, of which two must be category 1. Two other publications may be of category 1, 3 or 4.

There are limited substitutions allowed. The faculty member may substitute two book chapters for one of the publications for which he is a sole author if the book publisher is among those listed in categories A - D. In addition, if the faculty member has written a book or edited a book of over 200 pages, they may substitute this for up to three publications, depending on the quality of the publisher. With an international publisher in the A category, one may substitute for 3 other publications of any type; B category for two publications and C category one publication.

For a promotion from Associate Professor to Full Professor, the faculty member, while an Associate Professor must publish an additional five works, three of which must be of sole authorship. Four of the publications must belong to category 1 journals and all must be in category publications 1, 3-4.

As in prior promotions (Assistant to Associate), limited substitutions are available. Two book chapters may substitute for a category 1 journal article. An authored book or a book edited by the faculty member that is over 200 pages long may be substituted for up to three category one journal articles depending on the quality of the international book publisher. With an international publisher in the A category, one may substitute for 3 other publications of any type; B category for two publications and C category one publication

Publication categories for promotion decisions at the College of Social Sciences are

Category 1 journal: a refereed international journal, normally listed in the Clarivate Social Sciences Citation Index, the Scopus database or SciMago quartiles 1, 2, 3 or 4. Another reputable above zero impact factor journal may be considered for this category.

Category 2 publication: a local journal publication, an international conference proceeding (papers must be published in proceedings and ISBNs given), a MES approved journal or another professional journal.

Category 3A publication: a chapter in a book published by a reputable international publishing house, normally in category A, B, C and D.

Category 3B publication: a scholarly book or edited book of more than 200 pages published by a reputable international publishing house, normally in category A, B, C or D (see current list kept by research directors)

Category 4 publication: a professional work relevant to the area of specialization, for example:

- A documented contribution to public policy at the local, national, or international levels (for example, written testimony and policy briefs, contributions to drafting of legislation, GOSO, state curriculums (ТҮП), etc.).

MES approved textbooks

- A patent listed on <http://worldwide.espacenet.com> or the website of the national patent office

Professorial Promotion Requirements for Research Activities	Categories Available
To Assistant Professor	Ph.D. or professional terminal degree
To Associate Professor	A) Since hiring or promotion to assistant professor Five publications, (a) at least two of which must be single authored, (b) at least two of which must be published in a category 1 journal (c) at least four of which must be in the categories 1, 3 or 4.

	<p>One item in (a) may be replaced by two book chapters (category 3A).</p> <p>A scholarly book as further specified in category 3B may substitute in sentence (a)</p> <ul style="list-style-type: none"> • three journal publications if the publishing house is in category A • two journal publications if the publishing house is in category B • one journal publication if the publishing house is in category C <p>B) Over the entire academic career:</p> <p>(a) at least three publications in category 1</p> <p>(b) at least six publications in categories 1-4</p>
<p>To Full Professor</p>	<p>A) Since hiring or promotion to associate professor</p> <p>Five publications,</p> <p>(a) at least four of which must be published in a category 1 journal</p> <p>(b) all of which must be in the categories 1, 3 or 4.</p> <p>One item in (a) may be replaced by two book chapters (category 3A).</p> <p>A scholarly book as further specified in category 3B may substitute in sentence (a)</p> <ul style="list-style-type: none"> • three journal publications if the publishing house is in category A • two journal publications if the publishing house is in category B • one journal publications if the publishing house is in category C <p>B) Over the entire academic career:</p> <p>(a) at least five publications in category 1</p> <p>(b) at least ten publications in categories 1-4</p> <p>(c) at least five of which must be single-authored</p>

3. School of Law Research Publication Criteria for Promotion

For promotion from Assistant Professor to Associate Professor, the faculty member must have five publications within the last five years, two of which the faculty member must have written as a sole author.

The five publications must include two published in journals that are found in the databases Clarivate SSCI or SCImago Journal and Country Rank. The School of Law committee reviewing the promotion request may substitute other peer reviewed (or in the case of US law reviews, student edited) may accept other peer reviewed (student edited) journals of recognized academic quality.

Three publications in the promotion file submission may be of any type including journal articles, conference proceedings (papers must be published in proceedings and ISBNs given), local academic journal articles (in an MES recognized journal).

The faculty member may substitute a journal article in a journal found in the Clarivate or SCImago Journal database with a book chapter or an edited book of more than 200 pages. The faculty member may substitute up to three journal publications (of any category) with an authored book (a book counting for up to three (3) journal publications as in CSS). A book published by “A” category international publishers may be a substitute for three journal articles; a book published by “B” category international publishers for 2; and “C” category publishers for one article.

The promotion from Associate to Full Professor requires publications since the promotion (hiring) to Associate Professor and ten publications over the course of the faculty members professional career (but see generally on substitutions in the beginning of this appendix). Of those five works published since promotion to associate professor, three must have sole authorship.

Four publications, at least two of which are written during the period when the faculty member is an Associate Professor must be in journals listed in SSCI or SciMago, or they must be in other international journals of recognized quality (accepted by the college promotion committee. The quality of the journal is the sole discretion of the college level committee and is not subject to review by the university promotion committee or the appeals committee.

The remaining publications may be any type including journal articles in MES approved journals, international conference proceedings (papers must be published in proceedings and ISBNs given), books (a book may count for up to three (3) journal publications), book chapters in an edited book published by an international publisher, and professional work, including MES approved textbooks, or documented contributions to public policy at the local, national, or international levels (for example, written testimony and policy briefs, contributions to drafting of legislation, GOSO, state curricula (ТУП), etc.).

The following substitutions can be made. One book chapter in a book published by a quality international publisher or other publisher of proven academic quality may substitute for one Category A journal article. A faculty-authored scholarly book published by an international publisher can substitute for journal publications, according to the following scale:

- Category A publisher = three journal publications
- Category B publisher = two journal publications
- Category C publisher = one journal publication

Professorial Promotion Requirements for Research Activities	Categories Available
To Assistant Professor	One must have a terminal degree, whether academic or professional, e.g., Ph.D., Dr. lur., J.D., etc.
To Associate Professor	All requirements for research activities must be met after the appointment as Assistant Professor. For two out of the five (40%) publications, the faculty member must be the single or corresponding author. 1. Five publications within 5 years:

	<p>A. Two journal articles: refereed (peer reviewed), included in (1) Clarivate Social Sciences Citation Index; or (2) SCImago Journal & Country Rank (Scopus Database), Quartiles 1, 2, 3 or 4; or (3) Other peer reviewed journals of recognized academic quality, as accepted by the college Promotion committee.</p> <p>B. Three other publications of any type including journal articles, conference proceedings (papers must be published in proceedings and ISBNs given), books (a book counting for up to three (3) journal publications), book chapters, and professional written work (college specific):</p> <ol style="list-style-type: none"> 1) Local Journal Publication or International Conference Proceedings (papers must be published in proceedings and ISBNs given) <ul style="list-style-type: none"> • Ministry of Education & Science approved journals and other professional journals (a list of MES-approved journals may be found on its website). 2) Refereed International Book or Book Chapter Publication <ul style="list-style-type: none"> • Faculty-authored scholarly book chapter, or edited book of more than 200 pages, published by quality international publisher or other publishers of proven academic quality in the field as accepted by the college Promotion committee. N.B.: One book chapter published by a quality international publisher or other publisher of proven academic quality may substitute for one Category A journal article. 3) Category for Professional Work (College specific), for example: <ul style="list-style-type: none"> • Documented contributions to public policy at the local, national, or international levels (for example, written testimony and policy briefs, contributions to drafting of legislation, GOSO, state curricula (ТҮП), etc.). • MES approved textbooks <p>Faculty authored patent listed on http://worldwide.espacenet.com/ or national patent office website</p> <p>2. A faculty-authored scholarly book published by an international publisher can substitute for journal publications, according to the following scale:</p> <ul style="list-style-type: none"> • Category A publisher = three journal publications • Category B publisher = two journal publications • Category C publisher = one journal publication
<p>To Full Professor</p>	<p>All requirements for research activities must be done after the appointment as Associate Professor. For five out of the ten (50%) publications, the faculty member must be the single author.</p> <p>1. Ten (10) or more publications, at least five (5) of which must have been produced since appointment as Associate Professor.</p> <p>A. Four or more journal articles: refereed (peer reviewed), included in (1) Clarivate Social Sciences Citation Index; or (2) SciMago Journal & Country Rank (Scopus Database), Quartiles 1, 2, 3 or 4; or (3) Other peer reviewed journals of recognized academic quality, as accepted by the college Promotion committee.</p>

	<p>B. Five or more other publications of any type including journal articles, conference proceedings (papers must be published in proceedings and ISBNs given), books (a book counting for up to three (3) journal publications), book chapters, and professional written work (college specific)</p> <p>1) Local Journal Publication or International Conference Proceedings (papers must be published in proceedings and ISBNs given)</p> <ul style="list-style-type: none">• Ministry of Education & Science approved journals and other professional journals (a list of MES-approved journals may be found on its website). <p>2) Refereed International Book or Book Chapter Publication</p> <ul style="list-style-type: none">• Faculty-authored scholarly book chapter, or edited book of more than 200 pages, published by quality international publisher or other publishers of proven academic quality in the field as accepted by the college Promotion committee. N.B.: One book chapter published by a quality international publisher or other publisher of proven academic quality may substitute for one Category A journal article. <p>3) Category for Professional Work (College specific), for example:</p> <ul style="list-style-type: none">• Documented contributions to public policy at the local, national, or international levels (for example, written testimony and policy briefs, contributions to drafting of legislation, GOSO, state curricula (ТҮП), etc.).• MES approved textbooks <p>Faculty authored patent listed on http://worldwide.espacenet.com/ or national patent office website</p> <p>2. A faculty-authored scholarly book published by an international publisher can substitute for journal publications, according to the following scale:</p> <ul style="list-style-type: none">• Category A publisher = three journal publications• Category B publisher = two journal publications• Category C publisher = one journal publication
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4. College of Humanities and Education Research Publication Criteria for Promotion

An Assistant Professor in the College of Humanities and Education Research (CHE) must be native speaker of English, a graduate of an English mediated institution or have the equivalent of an IELTS score of 8. In addition, the faculty member must have a terminal degree.

In order to be promoted to Associate Professor, the faculty member must have five publications as an Assistant Professor within the last five years prior to the application for promotion to Associate Professor. At least two of the publications must be written solely by the faculty member.

Two of the articles in the promotion portfolio (not necessarily the same two that have sole authorship) must be in journals found in the Clarivate SSCI or SciMago databases. A faculty-authored scholarly book published by an international publisher can substitute for journal publications in this category, according to the following scale:

- Category A publisher = three journal publications;
- Category B publisher = two journal publications;
- Category C publisher = one journal publication.

In addition to the five international publications, the candidate must have published three articles in MES approved local journals.

To be promoted from Associate Professor to Full Professor, the candidate has to have published five significant works since the last promotion (or since being hired as Associate Professor) and within the last five years. The five significant publications must include three articles published in international databases (Clarivate SSCI or SciMago databases). The remaining two other significant publications may be of any type from journal articles, conference proceedings (papers must be published in proceedings and ISBNs given), books (books counting for 1-3 journal publications), and book chapters.

The substitution of journal publications by scholarly book authorship is as for the assistant professor to associate professor promotion.

For two out of the five publications the candidate must be the sole author or corresponding author.

In addition to the five required publications described above, the candidate must publish three additional articles in MES approved local journals. These must have been published in the five years prior to the request for promotion.

Suggested other possibilities for significant works are MES approved textbooks, documents influencing public policy and a scholarly book published by an international publisher. The table provides further details.

Professorial Promotion Requirements for Research Activities	Categories Available
<p>To Assistant Professor</p> <p><u>Professional English language proficiency:</u></p> <ul style="list-style-type: none"> • English native speakers or • Graduates of English-mediated institutions or • Equivalent IELTS score of 8 	<p>Ph.D. or professional terminal degree</p>
<p>To Associate Professor</p> <p><u>Five significant international publications within 5 years:</u></p> <ul style="list-style-type: none"> • Two journal articles: peer reviewed, included in database, no rank specified • Three other significant publications of any type from journal articles, conference proceedings (papers must be published in 	<p>1. Category Refereed International Journal Publication:</p> <ul style="list-style-type: none"> • Clarivate Social Sciences Citation Index - Journal List https://mjl.clarivate.com/home?PC=SS • SCImago Journal & Country Rank (Scopus Database). Any quartile. • Other above zero impact factor journal

<p>proceedings and ISBNs given), books (books counting for 1-3 journal publications), and book chapters</p> <p>2 out of 5 (40%) of items must be single or corresponding author.</p> <p>Three local journal publications within 5 years</p> <p>Professional English language proficiency:</p> <ul style="list-style-type: none"> English native speakers or Graduates of English-mediated institutions or Equivalent IELTS score of 8 <p><u>All requirements for research activities should be done after the most recent promotion or hiring process</u></p>	<p>Faculty-authored scholarly book published by international publisher can substitute according to the following:</p> <ul style="list-style-type: none"> Category A publisher = three journal publications Category B publisher = two journal publications Category C publisher = one journal publication <p>2. Category Local Journal Publication or International Conference Proceedings (papers must be published in proceedings and ISBNs given)</p> <ul style="list-style-type: none"> Ministry of Education and Science approved journals, other professional journals (see list of MES journals) <p>3. Category Refereed International Book or Book Chapter Publication</p> <ul style="list-style-type: none"> Faculty-authored scholarly book chapter, or edited book of more than 200 pages, published by high-quality international publisher (see list category A, B, C, D publishers) <p>4. Category for Professional Work (College specific), for example:</p> <ul style="list-style-type: none"> Documented contributions to public policy at the local, national, or international levels (for example, written testimony and policy briefs, contributions to drafting of legislation, GOSO, state curriculums, etc.). MES approved textbooks <p>Faculty authored patent listed on http://worldwide.espacenet.com/ or national patent office website</p>
<p>To Full Professor</p> <p><u>Five significant international publications from the previous promotion or hiring process:</u></p> <p><u>Five significant international publications within 5 years:</u></p> <ul style="list-style-type: none"> Three journal articles: peer reviewed, included in database, no rank specified. Two other significant publications of any type from journal articles, conference proceedings (papers must be published in proceedings and ISBNs given), books (books counting for 1-3 journal publications), and book chapters <p><u>Three local journal publications within 5 years</u></p> <ul style="list-style-type: none"> In case an applicant has more peer reviewed articles in the international level than the above requirements, they can replace local journal publications. 	<p>1. Category Refereed International Journal Publication</p> <ul style="list-style-type: none"> Clarivate Analytics Web of Science Social Sciences Citation Index-Journal List SCImago Journal & Country Rank (Scopus Database) Quartiles 1, 2, 3, 4 Other above zero impact factor journal <p>Faculty-authored scholarly book published by international publisher can substitute according to the following:</p> <ul style="list-style-type: none"> Category A publisher = three journal publications Category B publisher = two journal publications Category C publisher = one journal publication <p>2. Category Local Journal Publication or Conference Proceedings (papers must be published in proceedings and ISBNs given)</p> <ul style="list-style-type: none"> Ministry of Education and Science approved journal, other professional journal (see list of MES journals)

<p><u>50% of items must be the first or corresponding author</u></p> <p><u>Professional English language proficiency:</u></p> <ul style="list-style-type: none"> • English native speakers or • Graduates of English-mediated institutions or • Equivalent IELTS score of 8 <p><u>All requirements for research activities should be done after the last promotion or hiring process.</u></p>	<p>3. Category Refereed International Book Chapter Publication:</p> <ul style="list-style-type: none"> • Faculty-authored scholarly book chapter, or edited book of more than 200 pages, published by high-quality international publisher (see list category A, B, C, D publishers) <p>4. Category Refereed International Book Publication:</p> <ul style="list-style-type: none"> • Faculty-authored or edited scholarly book published by international publisher (see list category A, B, C, D publishers) <p>5. Category Professional Work (College specific), for example:</p> <ul style="list-style-type: none"> • Documented contributions to public policy at the local, national, or international levels (for example, written testimony and policy briefs, contributions to drafting of legislation, GOSO, state curriculums, etc.). • MES approved textbooks <p>Faculty authored patent listed on http://worldwide.espacenet.com/ or national patent office website</p>
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Appendix VI-4 – University Retention Promotion Committee Confidentiality Agreement

**Confidentiality Agreement for the
KIMEP University Promotion or Retention Committee**

It is imperative that the confidential nature of the Promotion or Retention Committee work be respected by all members of the Committee at all times and maintaining confidentiality is a critical element of the Committee's work. As the Committee's, individual and collective, acknowledgement of the important role that confidentiality plays in ensuring a successful work, all members of the KIMEP Promotion or Retention Committee, the staff supporting the Committee's work, and persons or entities engaged by the University to assist in the work, are asked to sign the following statement:

As a member of the KIMEP Promotion or Retention Committee charged with the responsibility of encouraging the interest of highly qualified individuals and evaluating the candidacies of those who apply or are nominated for promotion or an faculty or staff member supporting the KIMEP Promotion or Retention Committee, or an individual (or an individual on behalf of an entity) engaged by the University to assist the KIMEP Promotion or Retention Committee, I acknowledge that I will have access to confidential materials relating to the work and the integrity of the work process depends on the highest standards of confidentiality. I, therefore, agree:

- 1) To treat all of the KIMEP Promotion or Retention Committee's deliberations as well as all information related to the work of the KIMEP Promotion Committee, whether verbal or written, as confidential ("Confidential Information").
- 2) Not to disclose, directly or indirectly, confidential information to any person, firm, corporation or other entity other than a KIMEP Promotion or Retention Committee member, a faculty or staff member of the University supporting the KIMEP Promotion or Retention Committee, or a person or entity engaged by the University to provide services to the KIMEP Promotion or Retention Committee.
- 3) To maintain the confidentially described in the above paragraphs both during the work and for all times thereafter.

I have read, understand, and agree to abide by all of the terms of this Confidentiality Agreement as a condition of service as a KIMEP Promotion Committee member or as a faculty or staff member supporting the KIMEP Promotion Committee, or as individual (or an individual on behalf of an entity) engaged by the University to assist the KIMEP Promotion Committee.

[Name]

Date:

Appendix VI-5 — Timeline for Promotion Review

KIMEP University department, college and university faculty promotion review committees are asked to give advice about the value and significance of faculty activities across a variety of subject areas and research agendas. In order to avoid time-consuming delays, misunderstandings and to strive for transparent and equitable feedback about candidate's files, every candidate, Chair/review committee, college Dean/review committee is required to follow the procedures described in the FCP and to use the template letter(s) attached in the appendices. Candidate files will be returned to their respective colleges and departments, if necessary, documents are not completed and the proper procedures are not followed at the department and college levels. Most problems involved in reviews of candidates' files involve lack of departmental and college evaluation criteria and use of department or college committees which do not follow due process.

If a Chair, Dean or college committee member believes that procedures for due process or required documents were avoided or neglected, the evaluation of the candidate file in question will be halted until the proper process is taken up or necessary documents are produced. The Dean may ask the department committee to repeat the review process.

What happens	Who Takes Action	Deadline (by given date or next working day)
Memo from VPAA to all faculty members, Dept. Chairs, Deans initiating promotion review process for the upcoming academic year.	VPAA	End of April
Prospective candidates for promotion review meet with department heads and department committee members to review current criteria for promotion.	Department Promotion Committee members in each department, Department Chair	End-April to End-May for communicating evaluation criteria for prospective candidates for promotion during the upcoming academic year.
Two letters requesting external review are sent by department chair/director	Department Chair/ Director/ Department Faculty Promotion Committee Chair	By Mid-June
Final preparation of candidate file	Candidate	End of September
Candidate gives file to department chair/director	Department Chair/Director	End of September
Department Faculty Promotion Committee reviews candidate's file and writes letter about the merit of the candidate —added to candidate's file -Department Faculty Promotion Committee reviews current criteria for promotion and recommends any changes to Department Chair for next review cycle	Department Faculty Promotion Committee Chair	Mid-October
Department Chair or Director reviews and writes letter based on Committee recommendation as reflected in minutes — added to candidate's file.	Department Chair/Director	Mid-October
Chair informs Candidate of Decision of the committee and candidate has one week to appeal to the University Appeals Committee	Department Chair	Mid-October
Appeals Committee hears and decides to uphold or overturn the decision of the Department Committee	University Appeals Committee Chair	End of October (File returned to candidate or forwarded to college committee for further promotion consideration)
Candidate's file taken to College Dean who checks to see whether due process was followed at the Department level	Dean arranges pickup of files	November 1

KIMEP University Faculty Code of Practice

and confirms that file is complete. If Dean sees an error in due process or missing information regarding candidate's file, it is returned to the department level for appropriate repair or a further round of review.	Dean	
College Faculty Promotion Committee reviews candidate's file for merit and writes letter Based on Minutes of the College Committee	College Promotion Committee Chair	By November 10
College Dean reviews candidate's file for merit and writes Recommendation based on the record of the committees — added to candidate's file. Notifies candidate of the results of the college review committee recommendations.	College Dean	By November 20
Successful Candidate's file forwarded to University Promotion Committee. OR	College Dean	November 30
Candidate appeals to University Retention & Promotion Appeals Committee (URPAC)	Candidate	Dec. 10.
Appeals Committee renders decision to advance to University Committee or uphold the decision of the college committee	University Retention & Promotion Appeals Committee Chair	January 21
Candidate informed of Decision of the Appeals Committee (file returned to candidate, returned to college committee for further deliberation or forwarded to University Promotion Committee)	VPAA informs the Candidate of the Appeals Committee decision	End of January
University Promotion Committee meets and reviews the candidate's file for correct due process	University Promotion Committee	January end –February end
The University Promotion committee writes letter to VPAA about its decision on promotion	University Promotion Committee	March 5
The VPAA reviews University Promotion Committee decision and informs Candidate of the result. If University Promotion Committee's decision is positive, then VPAA writes a memo of support to the President's Cabinet. If negative, VPAA writes letter to candidate informing of result with no further action by President's Cabinet.	VPAA -University Promotion Committee	By March 15 Approved promotions take effect on 1st of September
URPAC hears appeals of negative decisions of University Promotion Committee. If URPAC decision is positive, then committee forwards letter to VPAA, who reviews and writes memo of support to President's Cabinet. If Appeal Committee decision is negative, then VPAA writes letter to candidate informing of negative result with no further action by President's Cabinet	University Retention-Promotion Appeals Committee (URPAC) - VPAA	By end of March
President's Cabinet formally approves positive promotion recommendations of VPAA	President's Cabinet	By end of April Approved promotions take effect on 1st of September

Appendix VI-6 — Appealing Faculty Promotion Recommendations

Candidates' appeals of recommendations must be filed in writing with the Chair of the University Retention and Promotion Appeals Committee (URPAC) within 15 days after a recommendation by the University Faculty Promotion Committee. The faculty member may have access to their promotion file at a time and place designated by the VPAA. The names and any information that would reveal the identity of any outside reviewers will be redacted from the file prior to being presented for review. No copies may be made of any of the contents of the file. The faculty member may take handwritten notes, but may not transcribe, copy, photograph, scan or otherwise record verbatim any document in the file. The faculty member must sign a pledge of confidentiality in which they agree to protect the confidentiality of the contents of the file prior to receiving access. The substance of an appeal may claim: a) violations of procedures (due process), b) violations of KIMEP's equitable workplace policy, c) errors of judgment/evaluation of the academic merit of the candidate's file or d) violations of academic privilege/freedom. During the appeal, the University Faculty Promotion Review Committee reviews the substance of the faculty member's appeal and reviews the recommendations of the VPAA as well as the recommendations of the Faculty Promotion Committees at the department and college levels. See recommended Promotion Appeal Hearing Process.

A. If the faculty member alleges that a violation of procedure (due process) has occurred, they will submit a letter to the Chair of the URPAC stating what procedures were violated. URPAC will conduct a factual review of the faculty member's claim(s) within 15 days. During this review, URPAC may choose to confer with members of the Deans' Committee and/or with members of Department/College Faculty Promotion Committees. URPAC will make a recommendation to the VPAA. The VPAA will notify the President's Cabinet within 15 days of receiving URPAC's recommendation.

B. Should the faculty member allege that a violation of KIMEP's equitable workplace policy has taken place, they will submit a letter to the Chair of URPAC stating the grounds for appeal. URPAC will conduct a factual review of the faculty member's claim(s) within 15 days. During this review, URPAC may choose to confer with members of the Deans' Committee and/or with members of Department/College Faculty Promotion Committees. URPAC will make a recommendation to the VPAA. The VPAA will notify the President's Cabinet within 15 days of receiving URPAC's recommendation.

C. Should the faculty member allege that an error of judgment/evaluation of the academic merit of their file has occurred, they will submit a letter to the Chair of URPAC stating the grounds for appeal. URPAC will conduct a factual review of the faculty member's claim(s) within 15 days. During this review, URPAC may choose to confer with members of the Deans' Committee and/or with members of Department/ College Faculty Promotion Committees. URPAC will make a recommendation to the VPAA. The VPAA will notify the President's Cabinet within 15 days of receiving URPAC's recommendation.

D. Should the faculty member allege that a violation of academic freedom or loss of academic privilege has taken place, they will submit a letter to the Chair of URPAC stating the grounds for appeal. URPAC will conduct a factual review of the faculty member's claim(s) within 15 days. During this review, URPAC may choose to confer with members of the Deans' Committee and/or with members of Department/ College Faculty Promotion Committees. URPAC will make a recommendation to the VPAA. The VPAA will notify the President's Cabinet within 15 days of receiving URPAC's recommendation.

Appendix VI-7 — Department Request for Staff Position



This form is to be completed and attached to the Job Description Form. Please fill in the fields below with appropriate information relevant to the position.

Job Title: _____

Department: _____

Division: _____

Position reports to: _____

Please, tick an appropriate Temporary position Permanent position

Salary of previous employee _____ KZT/month (is filled by HR)

Job Purpose Summary:

Please provide written justification and explanation for the position requested for your department in the space provided below. Any other supportive documents can be attached.

Job Justification Prepared by:

Head of Department Signature _____

APPROVED: _____
(Approval of the Vice President with signature of authority)

Comments of VP _____

Appendix VI-8 — Academic Administrator Hiring Evaluation



Candidate Name: _____ **Date** _____

Position title to be considered for: _____

Evaluated by (KIMEP faculty/staff): _____

Please assist in evaluating this candidate for the above position. When you have completed your evaluation, return this form to HR.

<p><u>Education and teaching experience:</u></p>											
<p><u>Technical Knowledge:</u> Based upon the candidate's work-related experience, how successful would they be with operations of their job responsibilities as expressed in the job description?</p>											
<p><u>Teamwork:</u> What skills or qualities does this candidate seem to possess that would make them successful in dealing effectively with co-workers, senior managers, and external associates?</p>											
<p><u>Ability to Learn:</u> How effective would this candidate be at assimilating and applying new job-related information in a timely manner?</p>											
<p><u>Adaptability:</u> How well would this candidate be able to maintain their level of effectiveness in varying environments with changing job directives, responsibilities, and people?</p>											
<p><u>Tolerance for Demands:</u> How effective would this candidate be at maintaining stable job performances under pressure (such as handling deadlines, job ambiguity, and opposition)?</p>											
<p><u>Motivational Fit:</u> How satisfied would this person be with our organization's mode of operation and culture? Is it consistent with the candidate's previous work environments and experiences?</p>											
<p><u>Key Observations: (list supportive comments / observations)</u></p> <p>Listening - Ability to Build Rapport – Resourcefulness - Professional Demeanor -</p>											
<p>Please circle the appropriate rating listed below as it relates to your evaluation of this candidate:</p> <table style="width: 100%; text-align: center;"> <tr> <td style="width: 20%;">1</td> <td style="width: 20%;">2</td> <td style="width: 20%;">3</td> <td style="width: 20%;">4</td> <td style="width: 20%;">5</td> </tr> <tr> <td>Poor Candidate</td> <td></td> <td>Acceptable Candidate</td> <td></td> <td>Excellent Candidate</td> </tr> </table>		1	2	3	4	5	Poor Candidate		Acceptable Candidate		Excellent Candidate
1	2	3	4	5							
Poor Candidate		Acceptable Candidate		Excellent Candidate							
<p>Signature of Interviewer:</p>											

Appendix VI-9 — Academic Faculty Hiring Interview Evaluation



Candidate Name: _____ **Date** _____

Position title to be considered for: _____

Evaluated by (KIMEP faculty/staff): _____

Please assist in evaluating this candidate for the above position. When you have completed your evaluation, return to HR.

<u>Education and teaching experience:</u>	
<u>Applicant's Background:</u> Based upon the candidate's work-related experience, how successful would they be with operations of their job responsibilities as expressed in the job description?	
<u>English Language Fluency:</u> How well would this candidate be able to teach in an English medium educational setting?	
<u>Teaching:</u> How effective would this candidate be at organizing a lecture, holding interest of students, using relevant teaching methods, establishing and maintaining appropriate learning setting, maintaining appropriate classroom management, and displaying self-confidence with students?	
<u>Adaptability:</u> How well would this candidate be able to maintain their level of effectiveness in varying environments with changing job directives, responsibilities, and people?	
<u>Tolerance for Demands:</u> How effective would this candidate be at maintaining stable job performances under pressure (such as handling deadlines, job ambiguity, and opposition)?	
<u>Motivational Fit:</u> How satisfied would this person be with our organization's mode of operation and culture? Is it consistent with the candidate's previous work environments and experiences?	
<u>Key Observations: (list supportive comments / observations)</u>	
Listening - Ability to Build Rapport – Resourcefulness - Professional Demeanor -	
Please circle the appropriate rating listed below as it relates to your evaluation of this candidate:	
1 Poor Candidate	2 3 Acceptable Candidate
4 5 Excellent Candidate	
Signature of interviewer:	

Appendix VI-10 — Academic Faculty Hiring Class Presentation Evaluation



Interview Evaluation For: _____ **Date of Presentation:** _____

Position Title: _____

Interviewer(s): _____

Please assist in evaluating this candidate for the above position. When you have completed your evaluation, return this form to HR.

Criteria	Please provide explanatory comments and notes
1. KNOWLEDGE (shows good command and knowledge of subject matter; demonstrates breadth and depth of mastery)	
2. ORGANIZATION (organizes subject matter; evidences preparation; states clear objectives; emphasizes and summarizes main points)	
3. RAPPORT (holds interest of students; is respectful, fair, and impartial; provides feedback, encourages participation; interacts with students, shows enthusiasm)	
4. TEACHING METHODS (Uses relevant teaching methods, aids, materials, techniques, and technology; includes variety, imagination, group involvement; uses examples that are simple, clear, precise, and appropriate; stays focused on and meets stated objectives)	
5. PRESENTATION (Establishes online course or classroom environment conducive to learning; maintains eye contact; uses a clear voice, strong projection, proper enunciation, and standard English)	
6. MANAGEMENT (Uses time wisely; attends to course interaction; demonstrates leadership ability; maintains discipline and control; maintains pace)	
7. PERSONAL (Evidences self-confidence; maintains professional comportment and appearance)	
<u>Key Observations: (list explanatory comments / observations)</u> Listening - Ability to Build Rapport – Resourcefulness - Professional Demeanor -	
Please circle the appropriate rating listed below as it relates to your evaluation of this candidate:	
1 Poor Candidate	2 Acceptable Candidate
3 Acceptable Candidate	4 Excellent Candidate
5 Excellent Candidate	
Signature of Interviewer: _____	

Appendix VI-11 — Hiring Process

The information provided below presents a step-by-step description of the employment process, which includes required paperwork for selection, hiring, preparation of employment contracts, work permit if required, nostrification of terminal degrees earned outside of Kazakhstan, visa, accommodation and adjustment.

#	Initiator /Sender	Action
1	Unit Search/Hiring Committee	When a position is approved by the President's Cabinet for hiring, the Dean, or VPAA will contact HR.
2	Unit Search/Hiring Committee	Informs HR about such needs and asks to make appropriate advertising (in local newspapers, international sources, KIMEP website, etc.).
3	HR	Makes appropriate advertising (in local newspapers, international sources, KIMEP website, etc.).
	HR	Provides all links to CV database Selection Committee can request supportive document (on work experience, qualifications, recommendation letters) from any candidate
4	Interested Candidates	Interested candidates apply for advertised positions. They submit the following documents to the College/Hiring Unit search Committee: <ul style="list-style-type: none"> • Scanned copies of diploma (PhD), • Complete CV • List of references • The following documents will be submitted later to the relevant college office after an employment offer is accepted: <ul style="list-style-type: none"> • Passport copy • Transcript of doctoral study • Medical certificate of good health • Certificate of clearance from the relevant police or national law enforcement agency.
5	Unit Search/Hiring Committee	Receives, reviews applications for advertised positions and creates a short list of at least 3 candidates for further interviewing.
6	Unit Search/Hiring Committee	Conducts interviews, makes selection/hiring decisions and informs HR.
7	Unit Search/Hiring Committee	<ul style="list-style-type: none"> • Unit Search/Hiring Committee conducts reference and credentials checking of the selected candidates, • (HIV test the person passes in Almaty upon arrival)
8	Unit Dean	Submits proposal for hiring to VPAA with indication of the faculty position, rank, title, contract duration, salary, CV and attaches minutes of review of the candidates by Unit Search/Hiring Committee
9	VPAA and President's Cabinet	VPAA consults with the President's Cabinet, reviews, approves or declines the proposal.

KIMEP University Faculty Code of Practice

10	HR	Upon receiving approval document(s) on hiring from President's Cabinet prepares the Job Offer including rank, title, contract duration, salary
11	Unit Dean//HR	If Job Offer is approved by VPAA, Unit Dean/ sends an Offer of Employment / Job offer) to the candidate.
11	Candidate	Candidate accepts or declines the Job Offer. If they accept, then sends a Letter of Acceptance to the Unit Dean/.
12	HR	<ul style="list-style-type: none"> • HR sends a template of employment contract for filling in such information as position, compensation to relevant college hiring unit. • Hiring Unit fills in the information, gets a final approval of VPAA and sends the scanned contract to the candidate to sign. • Candidate signs the contract, scans it and sends back to KIMEP. • HR receives the scanned contract, prints it and President or designee sign the contract on behalf of KIMEP University. The document is kept in files until the candidate arrives at KIMEP and signs the hard copy of the contract.
13	Office of Academic Affairs as responsible for application for nostrification	<ul style="list-style-type: none"> • Office of Academic Affairs informs the selected candidate about necessity to legalize / affix apostil to diploma, transcript and a diploma verification form from the graduated university which includes accreditation information. • PhD holders are to provide a list of publications in international and Kazakhstani sources. • The original documents can be submitted by the new faculty to HR upon arrival. These documents will be submitted by Academic Affairs Project Manager to the MES for nostrification.
14	HR	<ul style="list-style-type: none"> • If the selected candidate needs to receive a Work Permit, they need to provide the same package of documents mentioned above and in addition the following documents: medical insurance (repatriation included), legalize / affix apostille to certificate of police clearance, original Letters of Employment Confirmation from past five years of relevant experience, which address character and attitude of the faculty or staff member.

Appendix VI-12 — Adjunct Faculty Hiring Process

The following process is recommended for the hiring of Adjunct Faculty Members.

#	Search and hiring guidelines for adjunct faculty stages	Responsible person/unit
1	The position is approved for hiring.	By the Dean, VPAA, VPAF,
2	HR office may be contacted to make an advertisement.	
3	The position is advertised.	By the Human Resources (HR) Department
4	<p>Interested candidates apply for advertised positions. They submit the following docs to HR Department:</p> <ul style="list-style-type: none"> • Cover letter applying for the position • Complete CV <p>Interested candidates submit the following docs to relevant college/unit manager:</p> <ul style="list-style-type: none"> • Scanned copy of diploma (Masters, PhD) • Scanned copies of professional certificates • Transcript of doctoral/master's study • Passport/Identity Card copy • List of references with contact information • Medical certificate of good health (HIV test results), • Certificate of clearance from the police or national law enforcement agency. 	<p>To the HR Department</p> <p>HR collects and transfers to relevant unit Dean</p>
5	The applications are reviewed and qualified applicants are short-listed for interview/presentation.	Search committee: Admin Asst. as recorder, Dept. Chair and Faculty Members (at least 3)
6	Short-listed applicants are contacted to arrange a date/time for interview/presentation. They are informed that they have to prepare a 10-minute presentation about a relevant topic to the Search Committee.	The Dean and Dept. Chair
7	The interview/presentation is conducted. If an applicant is to conduct a mock lecture, the evaluators will not be the selection committee but a different panel that, ideally, should be composed of faculty and students. The interviewers should fill-in the evaluation form(s). The interviewers should consult the job description for the academic rank they are considering and compare the applicant's experience, qualities or teaching performance with the purposes of the post, the duties and responsibilities of the post, the required qualifications and experience and essential skills and competencies required for the position. Based on these considerations, the applicants are ranked and announced to the committee members. The final recommendation is voted for.	Search committee: Admin Asst. as recorder, Dept. Chair and Faculty Members (at least 3)
8	The recommendation is made to the Dean.	Search Committee

KIMEP University Faculty Code of Practice

9	The recommendation is approved or not. If it is approved, then forwarded to further approval by administration.	The Dean to VPAA,
10	Credentials, health and clearance certificates are checked.	College Office
11	The recommendation is approved or not by VPAA and other authorized officials.	
12	If the recommendation is approved, the candidate is notified.	College Office notifies and initiates contract in management system and processed by Legal Office
13	The candidate accepts or not the contract.	
14	If the candidate accepts, the contract is signed.	College Office

Appendix VI-13 – Template Full-time Faculty/Adjunct Hiring Recommendation Memo

To: VPAA

From:

Re: Faculty Hiring Recommendation (Adjunct or Full-time)

Date:

Dear:

This memo confirms that the College of _____, Department of _____ recommends the hiring of the following full-time/adjunct faculty as follows:

Name	Academic rank	Recommended Salary	Recommended Contract Time Period

These/this full-time/adjunct applicant(s) will be teaching the following specific courses because their prior work and academic experiences would benefit students in the following courses:

Name	Course(s) Recommended to Teach

No full-time faculty are available to teach this/these course(s) and no full-time faculty are teaching underloads because of the courses recommended for assignment to the adjunct candidates. Low-enrollment is not a factor in these recommendations for these hires.

Hiring meeting minutes and CVs for each full-time/adjunct candidate interviewed are attached.

Name	Hiring Meeting Minutes attached	CV Attached	Passport Country	Diploma and Specialization

Foreign candidate(s) have the following publication(s), which can be reported to the MES for nostrification purposes:

Name(s) of Author	Date and Title of Publication	Journal, Book, Other	SSCI/SCImago Journal Rank/Book Publisher

Relevant dates for this hiring process included:

- authorized on _____
- advertised on _____
- closing date for applications _____
- interviewed on _____
- recommendation for hiring on _____

Yours sincerely,

Approvals:

Budget:	Legal:	Academic Affairs:
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Appendix VI-14 — Academic Faculty Positions/Job Descriptions

1. Post Title: Lecturer

2. Department:

3. College/School/Center:

4. Responsible to: Chair of Department / Dean / Director Language Center

5. Main Purposes of the Post:

1. To undertake and manage the delivery of teaching and learning including related academic activities and, academic administration.
2. To undertake research and publish to the required levels appropriate to either academically qualified or professionally qualified status.

6. Duties and Responsibilities:

- Undertake teaching and related activities as may be allocated by the Chair of Department;
- Manage courses and ensure full compliance with quality requirements;
- Contribute to curriculum development;
- Lead and supporting the learning process by preparing learning materials and marking student scripts according to marking schemes provided and subject to appropriate monitoring procedures.
- Provide mentoring and academic support for students;
- Supervise and invigilate examinations and other assessment duties as required by the Dean/Director;
- Undertake consultancy and/or knowledge transfer and/or continuing professional development;
- Participate in continuous professional development;
- Undertake research;
- Carry out such related duties that may be allocated by the Head of Department/Dean.

7. Required Qualifications and Experience

Specific requirements of MES for accreditation and Attestation purposes and defined by the Ministry of Labor as essential standards for employment: a minimum of 1 year of Educational and Scientific Work Experience at an educational institution.

Additional KIMEP requirements: Master's degree - required publications and other requirements may be found in the KIMEP FCP.

8. Essential Skills/Abilities/Competencies

- Effective higher education teacher;
- Ability to manage the student learning experience;
- Potential to manage income generation activities;
- Potential to contribute to consultancy and/or pedagogic innovation and/or the development and implementation of advances in practice in their field.
- Effective interpersonal skills including communication (written and verbal) and team working skills;
- Ability to represent the department effectively;
- Competence in English including good report writing skills;
- Ability to engage in personal research and to contribute to team-based research projects;
- Commitment to KIMEP's Mission, Values, Principles of Governance and Strategic priorities.

1. Post Title: Senior Lecturer

2. Department:

3. College/School/Center:

4. Responsible to: Chair of Department / Dean / Director Language Center

5. Main Purposes of the Post:

1. To undertake and manage the delivery of teaching and learning including related academic activities and, academic administration.
2. To undertake research and publish to the required levels appropriate to either academically qualified or professionally qualified status.

6. Duties and Responsibilities:

- Undertake teaching and related activities as may be allocated by the Chair of Department;
- Manage courses and ensure full compliance with quality requirements;
- Contribute to curriculum development;
- Lead and supporting the learning process by preparing learning materials and marking student scripts according to marking schemes provided and subject to appropriate monitoring procedures.
- Provide mentoring and academic support for students;
- Supervise and invigilate examinations and other assessment duties as required by the Dean/Director;
- Undertake consultancy and/or knowledge transfer and/or continuing professional development;
- Participate in continuous professional development;
- Undertake research;
- Carry out such related duties that may be allocated by the Head of Department/ Dean.

7. Required Qualifications and Experience

Specific requirements of MES for accreditation and Attestation purposes and defined by the Ministry of Labor as essential standards for employment: a minimum of 3 Years of Educational and Scientific Work Experience at an educational institution and, for progression to this grade, at least one year as a Lecturer.

Additional KIMEP requirements: required publications and other requirements may be found in the KIMEP FCP.

8. Essential Skills/Abilities/Competencies

- Effective higher education teacher;
- Ability to manage the student learning experience;
- Potential to manage income generation activities;
- Potential to contribute to consultancy and/or pedagogic innovation and/or the development and implementation of advances in practice in their field.
- Effective interpersonal skills including communication (written and verbal) and team working skills;
- Ability to represent the department effectively;
- Competence in English including good report writing skills;
- Ability to engage in personal research and to contribute to team-based research projects;
- Commitment to KIMEP's Mission, Values, Principles of Governance and Strategic priorities.

1. Post Title: Assistant Professor

2. Department:

3. College/School/Center:

4. Responsible to: Chair of Department / Dean / Director Language Center

5. Main Purpose of the Post:

1. To lead and manage the delivery of teaching and learning including oversight and management of related academic activities and academic administration.
2. To undertake research and publish to the required levels appropriate to either academically qualified or professionally qualified status.

6. Duties and Responsibilities:

- Undertake teaching and related activities as may be allocated by the Chair, Dean or Director as appropriate.
- Lead and manage programs and modules, ensuring full compliance with quality requirements;
- Lead, manage and contribute to curriculum development;
- Lead manage and support the learning process by preparing learning materials and marking student scripts according to marking schemes provided and subject to appropriate monitoring procedures.
- Provide mentoring and academic support for junior staff and students;
- Manage, supervise and invigilate examinations and other assessment duties as required by the Dean/Director under advice from the Faculty/Centre/NUR examinations office
- Undertake, lead and manage consultancy and/or knowledge transfer and/or continuing professional development;
- Participate in continuous professional development;
- Ability to engage in personal research and contribute to team-based research programs.
- Carry out such related duties that may be allocated by the Chair, Dean or Director as appropriate.
- Student Advisement

7. Required Qualifications and Experience

Specific requirements of MES for accreditation and Attestation purposes and defined by the Ministry of Labor as essential standards for employment: DS/PhD or CS and a minimum of 3 years of educational and scientific work at an educational institute in the area of specialization and, for progression to this grade, at least one year as a Senior Lecturer.

Additional KIMEP requirements: required publications and other requirements may be found in the KIMEP FCP.

8. Essential Skills/Abilities/Competencies

- Effective higher education teacher;
- Demonstrable ability to manage the student learning experience;
- Demonstrable ability to develop new curricula;
- Effective interpersonal skills.
- Ability to represent the department or College effectively;
- Competence in English, including good report writing and data analysis skills;
- Ability to engage in personal research and to contribute to team-based research projects;
- Commitment to KIMEP's Mission, Values, Principles of Governance and Strategic priorities.

1. Post Title: Associate Professor / Professor

2. Department:

3. College/School/Centre:

4. Responsible to: Chair of Department / Dean / Director Language Center

5. Main Purpose of the Post:

1. To lead and manage the delivery of teaching and learning including oversight and management of related academic activities and academic administration.
2. To provide academic and research leadership.
3. To undertake research and publish to the required levels appropriate to either academically qualified or professionally qualified status.

6. Duties and Responsibilities:

- Undertake teaching and related activities as may be allocated by the Chair of Department, Dean or Director as appropriate;
- Lead and manage programs and modules, ensuring full compliance with quality requirements;
- Lead, manage and contribute to curriculum development;
- Lead, manage and support the learning process by preparing learning materials and marking student scripts according to marking schemes provided and subject to appropriate monitoring procedures.
- Provide mentoring and academic support for junior staff and students;
- Manage, supervise and invigilate examinations and other assessment duties as required by the Dean/Director under advice from the Faculty/Centre/School examinations office;
- Undertake, lead and manage consultancy and/or knowledge transfer and/or continuing professional development;
- Participate in continuous professional development;
- Ability to engage in personal research and to lead team-based research projects;
- Carry out such related duties that may be allocated by the Chair of Department / Dean / Director as appropriate.
- Student Advisement

7. Required Qualifications and Experience

Specific requirements of MES for accreditation and Attestation purposes and defined by the Ministry of Labor as essential standards for employment: DS/PhD or CS and a minimum of 5 years of educational and scientific work at an educational institute in the area of specialization and, for progression to a higher grade, at least one year in the preceding grade.

Additional KIMEP requirements: required publications and other requirements may be found in the KIMEP FCP.

8. Essential Skills/Abilities/Competencies

- Effective higher education teacher;
- Demonstrable ability to manage the student learning experience;
- Demonstrable ability to lead and manage income generation activities;
- Demonstrable ability to develop new curricula;
- Demonstrable ability to lead and manage consultancy and/or pedagogic innovation and/or the development and implementation of advances in practice in their field.
- Effective interpersonal skills and the ability to lead teams;
- Ability to represent the department effectively;
- Competence in English, including good report writing and data analysis skills;
- Ability to engage in personal research and to lead team-based research projects;
- Commitment to KIMEP's Mission, Values, Principles of Governance and Strategic priorities.

Appendix VI-15 — Teaching Assistant Job Description and Code of Conduct

Приложение №1 к Трудовому Договору № _____ от _____ г.
Attachment #1 to the Labor Contract # _____ dated _____.

Ассистент преподавателя / Teaching Assistant:

- Проведение вспомогательных уроков для студентов и групповых дискуссий на темы, организованных преподавателем;
- Посещение основных лекций с преподавателем;
- Участие и помощь в проведении экзаменов с преподавателем;
- Соблюдать конфиденциальность студенческой информации.

- Не исполнять обязанности не связанные с предметом;
- Не оценивать задания и экзамены студентов;
- Не вводить оценки студента ни в какие базы данных, список инструктора и др.;
- Не заменять преподавателя при его отсутствии;
- Не оказывать услуг как личный ассистент, сопровождающий, гид или переводчик.

- Conducting tutorial and group discussions about topics organized by instructor;
- Attending main lecture sessions with instructors;
- Taking part in examination proctoring with the instructor;
- Maintain confidentiality of student information

- No performance of duties unrelated to the course;
- No grading/marking of assignments or exams;
- No entering of student grades any database, instructor roster or other means;
- No substitute teaching for instructor absence;
- No service as personal assistants, escorts, guides or translators/interpreters.

TEACHING ASSISTANT — CODE OF CONDUCT

Name (First): _____ Surname (Last name): _____

Student ID number: _____ Major: _____

Address (post code): _____ Email (KIMEP): _____

Tel (mobile): _____ Email (Personal): _____

1. This Code of Conduct requires a Teaching Assistant (TA) to:

- 1.1 behave honestly and with integrity in the course of KIMEP employment;
- 1.2 act with care and diligence in the course of KIMEP employment;
- 1.3 when acting in the course of KIMEP employment, treat everyone with respect and courtesy, and without harassment;
- 1.4 when acting in the course of KIMEP employment, comply with all applicable KIMEP regulations and by-laws;

KIMEP University Faculty Code of Practice

- 1.5 comply with any lawful and reasonable direction given by the supervising Professor who has authority to give the direction;
- 1.6 maintain appropriate confidentiality regarding dealings that the TA has with the supervising KIMEP Professor or Professors and staff within KIMEP;
- 1.7 disclose, and take reasonable steps to avoid any conflict of interest (real or apparent) in connection with KIMEP employment;
- 1.8 not use KIMEP resources in an improper manner;
- 1.9 not provide false or misleading information in response to a request for information that is made for official purposes in connection with the TA, students and any individuals directly or indirectly involved with KIMEP;
- 1.10 not make improper use of:
 - 1.10a inside information, or
 - 1.10b the TA's duties, status, power or authority, in order to gain, or seek to gain, a benefit or advantage for the TA or any other person;
- 1.11 act in a way that upholds KIMEP values and the integrity and good reputation of KIMEP; and
- 1.12 comply with any other conduct requirement prescribed by KIMEP regulations and/or RK Labor Law

2. Misconduct

A TA commits serious misconduct in the following instances:

- 2.1 any act of conduct or omission inconsistent with the fulfilment of the express or implied conditions of their contract; or
- 2.2 willful disobedience to a lawful order; or
- 2.3 willful and unlawful destruction of the employer's property; or
- 2.4 theft or fraud; or
- 2.5 absence from work without leave or reasonable cause; or
- 2.6 gross incompetency or inefficiency in the performance of their work; or
- 2.7 habitual and substantial neglect of their duties; or
- 2.8 lack of a skill which the employee expressed or implied held himself or herself out to possess.

3. Termination of employment contract

3.1 Termination of employment of the TA by the supervising Professor shall be in accordance with KIMEP regulations and the Labor Laws of Kazakhstan

4. Disciplinary procedure

4.1 Where the supervising Professor has good cause to believe the TA has committed misconduct mentioned in section 2, the supervising professor may suspend the TA and may forthwith serve the TA with a letter of suspension with reasons and grounds of suspension in accordance with KIMEP policy and the Labor Laws of Kazakhstan.

4.2 Upon serving the TA with the suspension letter, in accordance with KIMEP policy and the Labor Laws of Kazakhstan, the supervising professor may exercise his discretion and implement KIMEP policy relative to the alleged offence of the TA or exercise by issuance of notice of termination of contract of the TA without further action.

I, _____ have read this "Code of Conduct", and it has also been explained to me by my prospective supervisor. I understand and accept it. I also understand should I breach any section of this Code of Conduct; I may be held accountable in accordance with the rules and regulations of KIMEP and may be dismissed from my employment as TA.

TA Name: _____

TA Signature: _____

Date: _____

Date: _____

Supervisor Name: _____

Supervisor Signature: _____

Appendix VI-16 — Annual Quality Assurance Activities Plan

Task and activity to be done	Activity current status: stage, date, consulting	Activity Final Result	Comments
1. Quality of courses:			
a. Syllabi posted online KIMEP website > Faculty portal	Developed and uploaded by Faculty Members and Approved by Chair of Department	Available online to Management, Deans, Chairs	
b. Course management forms posted online KIMEP website > Faculty portal	Developed and uploaded by Faculty Members and Approved by Chair of Department	Available online to Management, Deans, Chairs	
c. Peer review of classes and department recordkeeping	Observation and written comments by Faculty Members and Record-keeping by Chair of Department	Summary report to Dean of College/Unit	
d. Management grade database (distribution of grades, absolute # of grades) maintenance KIMEP website > Faculty portal	Compiled and uploaded by Registrar	Available online to Management, Deans, Chairs	
e. Analysis of grade distribution patterns (identify grading anomalies)	Compiled and uploaded by QAIR	Available online to Management, Deans, Chairs	
2. Quality of Program:			
a. Review of current syllabi compared with indicative syllabi to check if Program ILOs are being met KIMEP website > Faculty portal	Developed by Faculty Members and Approved-uploaded by Chair of Department	Available online to Management, Deans, Chairs	

KIMEP University Faculty Code of Practice

b. Annual alignment review of current assessments in course syllabi with program ILOs

Developed by Faculty Members and Approved-uploaded by Chair of Department

Available online to Management, Deans, Chairs

c. Annual review of all course syllabi and actions taken to revise syllabi

Developed by Faculty Members and Summarized Approved-uploaded by Chair of Department

Available online to Management, Deans, Chairs

3. Student Performance:

a. Review grading patterns

KIMEP website > Faculty portal

Developed by QAIR

Reviewed by Faculty Members, Chairs and Deans

Available online to Management, Deans, Chairs

b. Review individual student profiles

Developed by Student Learning Support Center, Admissions, Registrar

Available online to Management, Deans, Chairs

c. Student attitude survey and longitudinal study of student perceptions

Developed by QAIR and Student Learning Support Center

Available online to Management, Deans, Chairs

4. Teaching & Course Evaluations

a. Continue to design and deliver Teaching and Course Evaluations each semester

Developed by QAIR

Implemented during 13th-14th weeks of each semester up to 7 days prior 1st day of final examination period

Available online to Management, Deans, Chairs

b. Feedback for faculty built into review.

Release the results of teaching & course evaluations for faculty just after "Change Grades Form" due at

Available online to individual Faculty Members, and available across faculty members to Management, Deans, Chairs

beginning of following semester

c. Feedback to students	Developed and implemented by QAIR and Student Learning Support Center	Available online to Students
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5. Student Satisfaction Survey

a. annual survey each Spring semester	Developed and implemented by QAIR and Student Learning Support Center	Available online for Students
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b. Feedback from student satisfaction survey	Developed and implemented by QAIR	Available online to Management, Deans, Chairs
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6. Graduating students exit survey

a. Annual survey of graduating students	Developed and implemented by QAIR and Student Learning Support Center	Available to Students
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b. Feedback from graduating student survey	Developed and implemented by QAIR	Available online to Management, Deans, Chairs
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7. Faculty Research Database

a. Update each semester	Developed and uploaded by Faculty Members and Approved by Chair of Department	Available online to Faculty Members, Management, Deans, Chairs
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b. Annual review of research activities by Chairs for faculty performance review	Developed and implemented by Chairs	Available online to Management, Deans, Chairs
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Appendix VI-17 — Calculating Teaching Load

Type of Course	Example Course	Example Course Time Schedule	Teaching Load Calculation*
Independent Study, Dissertation, Thesis Work	Contract Law of Kazakhstan	00:00-00:00	0.5 academic hour
	Thesis 2	00:00-00:00	0.5 academic hour
Class meeting once per week	Essentials of Public Administration	Thursday 18:30-19:45 and 20:00-21:15	3 academic hours x 1 time per week = 3 hours
Class meeting twice per week	Qualitative Data Analysis	Monday 14:30-15:45 Wednesday 14:30-15:45	1.5 academic hours x 2 times per week = 3 hours
Class meeting three times per week	Academic English Listening & Note-taking	Monday 11:00-11:50 Wednesday 11:00-11:50 Friday 11:00-11:50	1 academic hour x 3 times per week = 3 hours
Combined classes (groups meeting in the same classroom on the same day at the same time)	Credit Internship Program in Finance	Saturday 17:30-18:45 #109 NB	1.5 academic hours total for all groups
	Credit Internship Program in Finance II	Saturday 17:30-18:45 #109 NB	
	Internship in Finance	Saturday 17:30-18:45 #109 NB	
			Total Example = 11.5 hours teaching load (0.5 + 0.5 +3 +3 +3 +1.5) This example shows 0.5-hour teaching underload (12 hours required per semester to complete teaching load requirement).

*50 minutes = one academic hour; 15 instructional hours = one KIMEP academic credit; a three-credit course usually = 5 ECTS (learning hours = instructional hours plus guided study)

Appendix VII-1 — Glossary of Terms about Student Academic Performance

I. Enrollment and Admission Definitions

The number of applied – a number of potential students applied to the degree program or as non-degree by the mean of official application form (on-line or hard copy) during certain admission year.

The number of admitted – a number of applicants who meet all KIMEP admission requirements and officially accepted by the admission or transfer/reinstated order.

Newly enrolled – any admitted student, who within their first academic semester, has registered as degree or non-degree student for at least one (credit or non-credit) course.

Eligible to enroll – any degree student officially admitted to the degree program and fulfilled all registration requirements (payment, medical, criminal records, etc.)

Ever enrolled (or matriculated) – any degree student who was registered at least once after admission

Never enrolled (or non-matriculated) – any student who has been officially admitted but never enrolled in any semester

Entry cohort – group of degree-seeking students within the same year of entry under the same Catalogue requirements

Total Enrollment – a number of students (out of eligible to enroll) registered for at least one course. Total enrollment includes all degree, non-degree, and exchange students.

There are two types of enrollments:

1. Enrollment for a certain semester
2. Enrollment for a certain academic year⁶

II. Undergraduate Degree-Seeking Class Standing

Freshman – refers to a student during their first academic year followed the admission to the program

First-year student – A student who has fewer than 30 earned credit hours student with up, regardless the year of entry

Sophomore - A student who has 30-59 earned credit hours

Junior - A student who has 60-89 earned credit hours

Senior - A student who has at least 90 earned credit hours

III. Graduate Degree-Seeking Class Standing

Newcomer – refers to a graduate student during their first academic semester followed the admission to the program

⁶ Total Enrollment for AY < (Total Enrollment in Fall + Total Enrollment in Spring + Total Enrollment in Summer1 + Total Enrollment in Summer2)

IV. Non-Degree-Seeking

Non-degree (at undergraduate or graduate course levels) is an educational option to be used by any person wishing to take courses for personal purposes without any intention of obtaining a degree. There are types of non-degree students:

- Non-degree students, taking some undergraduate or graduate level courses;
- Auditing students – with the purpose of increased access to higher education;
- Exchange students from other universities - to increase academic mobility;
- International Summer School visitors - to increase the academic mobility;
- Any other non-degree groups.

Exchange student is a student who arrived from abroad and temporarily studies at KIMEP for one semester or academic year.

Visiting students are those who independently come to the KIMEP U without having a formal exchange agreement.

V. Attrition and Retention definitions

Attrition is a number of students who drop out of the KIMEP University, transfer to another institution, or are disqualified because of inadequate grades.

Two types of attrition:

1. Attrition out of eligible to enroll

- Attrition out of newly admitted (analyzed within a month after admission orders are issued)
- Attrition out of ever enrolled (analyzed from Fall to Fall (academic year analysis⁷))

2. Attrition among certain cohort after certain period of time passed from admission (from Fall to fall)

Withdrawal is initiated by student in a situation when student decides to leave the institution by their choice before completing a degree. The decision is made “without any formal compulsion on the part of the institution” (Tinto, 1993, p. 49). (From Fall to fall)

Administrative Withdrawal

Administrative withdrawal is initiated by the university in case when student is unable or unwilling “to meet minimum standards of academic performance required to maintain enrollment” (Tinto, 1975, p.31). (From Fall to fall)

Non-Returning (Inactive) –any eligible to enroll student who did not re-enroll in curriculum (including students on academic leave). (Fall to Fall and semester-based analysis)

Active – any degree student who is currently enrolled in curriculum including thesis students, students with last “Incomplete” grade, graduating students who could not register due to the absence of needed course in a schedule, exchange, and international dual degree students enrolled in curriculum on campus or off campus.

Persistence is the enrollment headcount of any cohort compared to its headcount on its initial official census date. (Noel-Levitz, 2008) (from Fall to fall)

Retention is the outcome of how many students remained enrolled from Fall to Fall. (Noel-Levitz, 2008) (from Fall to Fall)

Degree Completion/Graduation is the outcome of how many students within a cohort complete and/or graduate from an institution within 5-year period (bachelors) or 4-year period (masters). (Noel-Levitz, 2008) (from Fall to fall)

⁷ This report will be submitted annually without preliminary request

VI. Academic Standing

Academic standing is a measure of the student's academic achievement relative to their degree requirements, and determines their eligibility to precede in their academic plan and to qualify for graduation.

A student's academic standing is determined in part by the Cumulative Overall Average (GPA). The GPA is calculated by dividing the number of grade points earned in courses that assign letter grades by the number of units attempted. Courses in which grades of I, W, and IP are assigned are not used in GPA calculation.

Undergraduate Academic Standing

The four categories of undergraduate academic status are listed below:

1. Good Standing

Students are in satisfactory standing at the conclusion of any matriculated term in which they have both a cumulative total GPA and a semester GPA of 2.0 or higher.

2. At-Risk of Academic Failure

According to Fridlander (1980) at-risk students are, "Those students who because of poor academic preparation, language handicaps, or low motivation may have difficulty to succeed."

Early warning indicators of Academic Failure

2a. Group "At risk" For Freshmen only:

- UNT score - students with overall UNT score below 60 and/or math. score below 10 should be flagged for possible early intervention.
- KEPT score – students with KEPT score below 60 should be flagged for possible early intervention.
- Study-Skills deficiencies
- Place of origin (rural/urban)
- Non-Almaty residents
- Any student who fails to attend Fall Orientation should be flagged for possible early intervention.
- Second-week (For English Foundation courses only), first-month first-quarter, and first-semester absences - students who miss more than 10% of instructional time should be flagged for possible early intervention.
- Second-week (For English Foundation courses only), first-month first-quarter, and first-semester performance- students who demonstrated poor performance by the opinion of the instructors should be flagged for possible early intervention.

2b. For First Year Students

- Any first-year student who did not pass Foundation courses during the first year after admission should be flagged as at risk
- Any first-year student with less than 24 credits taken and GPA below 2.0 should be flagged as at risk

2c. For all Students including freshman and first year students

- Course performance - students with more than one F in one semester should be flagged for possible early intervention.
- Students who demonstrated poor performance on the first and second assessment.
- Grade Point Average- any student with a GPA of 2.1 or less at the end of the term should be considered at risk for dropping out and should be flagged for possible early intervention.

- Students who demonstrated significant drop in GPA comparing with previous semester should be flagged for possible early intervention.
- Withdraw from a course- students with more than one W within one semester should be flagged for possible early intervention.

Some of the indicators should be looked at 'as a group' rather than individually (For example UNT Score, KEPT score, and first-month, first-quarter, and first-semester absences, or withdrawal and poor course performance). The grouping will be determined by the Registrar and retention specialists. A student who has many unexcused absences, poor course performance, withdrawals, GPA of 2.1 and below and an 'F' would qualify as 'at-risk'.

3. Academic Probation

Freshman student who registers but does not meet foundation level courses requirements during three regular semesters is placed on Academic Probation for the next term in which that student is registered.

First year student with cumulative GPA below 2,0 after three regular semesters is placed on Academic Probation for the next term in which that student is registered.

Any undergraduate degree student with 24 credits taken is placed on probation if their either cumulative total GPA or semester GPA falls below 2.0 at the conclusion of any term. Students remain on probation until they either regain good standing or either placed on academic suspension, or dismissed from the KIMEP U.

4. Academic Suspension

Any student who does not regain good standing after the Academic Probation period is offered one semester Academic Suspension option. If student decides to accept the offer, they have a right to register for 1 regular courses and is obliged to participate in an academic support program during one regular semester. After a semester of the support program, a student returns to the Academic Probation status for one more semester, or to a regular status if a good standing is regained, or if is not able or willing to demonstrate an improvement is dismissed from the KIMEP U.

5. Graduate Academic Standing

The two categories of graduate academic status are listed below:

a. Good Standing

Students are in good standing at the conclusion of any matriculated term in which they have both a cumulative total GPA and a semester GPA of 3.0 or higher.

b. Academic Probation

Degree students are placed on probation if either their cumulative total GPA or semester GPA falls below 3.0 at the conclusion of any term. Students remain on probation until they either regain good standing or are dismissed from the university.

Appendix VII-2 — Responding to Behavioral Disruptions on Campus, in Classrooms

KIMEP University

Responding to Behavioral Disruptions on Campus, in Classrooms

Faculty and Staff Information

Contents

Contents	119
1. Opening Comments	120
3. University Standards	122
4. Examples of Disruptive Classroom Behavior	122
5. Discouraging Disruptive Classroom Behavior	123
6. Maintaining Confidentiality	124
7. Responding to Disruptive Behavior in the Classroom	124
8. Identifying Potential for Dangerous Behavior	125
9. Document all serious instances of classroom disruption	126
10. Save any threatening or offensive e-mail or voice-mail messages	126
11. If you feel threatened or alarmed or there is unlawful behavior, call Campus Security at 237-47-66.	126
12. KIMEP University Faculty/Staff Responses to Concerns about Behavior: Decision Table Consultations and Referrals	127

1. Opening Comments

KIMEP University is committed to providing a safe learning environment for faculty, staff, and students.

This policy reiterates our dedication to preventing and responding to incidents that are disruptive, threatening, or violent. In the attached Guide for Faculty, you will find information about disruptive or threatening incidents in the classroom as well as resources for assistance in responding to these types of concerns. We hope you'll find the enclosed materials useful. For additional information and to schedule an information session for your class, department, or unit, please call The Associate Vice President (AVP) for Student Affairs at call-48-21 or send a request to aibr@kimep.kz.

Students are responsible for conducting themselves in a manner that is respectful of the instructor and other students in the classroom, is civil in language, tone and behavior, and is receptive to ideas and other points of view.

Instructors and staff are responsible for establishing and maintaining a civil, respectful, productive and stimulating learning environment. When this environment is damaged by disruptive student behavior, it is essential to take appropriate and immediate steps to curtail this behavior, to remain calm and to effectively communicate*.

2. Introduction

In an ideal educational setting, students, instructors and staff would not experience behavior that undermines instruction and, thereby, negatively impacts student learning. However, the unfortunate reality is that disruptive behavior can occur in classrooms, lab areas, offices, field sites and other educational settings, or via electronic means such as email, discussion boards, online meeting spaces, and audio video conferencing. This manual is intended to offer guidance and support to respond to disruptive or threatening student behavior.

If faculty or staff members need immediate assistance in responding to a threat to safety, contact KIMEP Campus Security at 237-47-66. Campus Security offices are staffed 24 hours per day and can dispatch personnel to assist at any campus location. If an incident occurs off campus, please call the Almaty Police at 102.

To discuss a student who is disruptive or seems to be showing signs of emotional distress, mental illness, or difficulty in adjusting to college life, please contact Director of Student Affairs at 237-47-80 or extension 1083. The Director of Student Affairs can evaluate the situation and make the appropriate referrals.

To discuss questions about whether a student's disruptive behavior can be addressed through the university disciplinary system, please contact the Director of Student Affairs at 237-47-80 or extension 1083.

To discuss questions about whether to be concerned about a behavior, please contact the Director of Student Affairs at 237-47-80 or extension 1083 for guidance and referrals.

If after hours contact is needed, please contact the KIMEP Campus Security at 237-47-66.

As course instructors, faculty members act with authority both in the classroom and in any class related interaction occurring outside of the classroom. Administrative staff members act with authority in any interactions occurring in administrative offices, the campus area and the dormitory. Faculty and staff members are obligated to establish appropriate academic and behavioral standards. There are basic ways to influence how individual student behavior impacts the learning environment. Some strategies that will prove helpful include:

- set and communicate standards on your syllabus,
- personally model the behaviors students are expected to exhibit,
- firmly and fairly address disruptive behavior, and
- hold students accountable for their actions.

A learning environment that incorporates the above elements will better support students in their intellectual and personal growth while contributing to your own sense of safety and wellbeing. Questions about this manual may be directed to AVP for Student Affairs, Executive Director for Student Affairs, at 237-48-21 or at aibr@kimep.kz.

3. University Standards

KIMEP University staff members continue to work proactively in order to reduce the need for disciplinary action. Given the complexity of the university, however, the need for disciplinary actions occasionally will arise. It is the general policy of practice at KIMEP University to take such actions with care and to only implement formal disciplinary procedures as a last resort in resolving difficult interpersonal situations. The following describes the expectations of KIMEP University regarding academic and personal code of behavior for all students, faculty and staff.

“All members of the KIMEP academic community enjoy the same basic freedoms, rights and responsibilities. In particular, students and faculty at KIMEP University should exercise freedoms and responsibilities related to the educational process. In order for this to happen, teachers should be free to teach, conduct research, and publish findings in the spirit of free inquiry, and to exercise academic responsibility in the classroom in examining and discussing subjects in a spirit of freedom. For students, attendance at KIMEP University is a privilege. In order to maintain the ideals of scholarship, character and commitment to excellence, KIMEP University establishes these rules and regulations to further these ideals within the university community. Students must understand that individual rights bring associated responsibilities and that individual rights must be viewed in relationship to the health, safety and welfare of the university community. Faculty, students and administrators who are found by the appropriately constituted committee(s) to have contravened any KIMEP University regulation designed to protect the above principles will have the right to due process. Due process means the confidential and impartial consideration of their case by the appropriate committee, with the right to appeal any decision taken. These rules apply to all members of the university community equally. All members of the university community are responsible for the rules of enforcement.”

4. Examples of Disruptive Classroom Behavior

Disruptive Behavior

Disruptive classroom conduct is defined as follows: “Disruptive classroom conduct means engaging in behavior that substantially or repeatedly interrupts either the instructor’s ability to teach or student learning. The classroom extends to any setting where a student is engaged in work toward academic credit or satisfaction of program-based requirements or related activities.” Examples of disruptive behavior in the classroom include, but are not limited to:

- making loud and distracting noises
- monopolizing classroom discussions
- talking when the instructor or others are speaking
- using cell phones or pagers
- inappropriate or inordinate demands for time and attention
- exhibiting erratic, irrational behavior
- persisting in speaking without being recognized
- behavior that distracts the class from the subject matter or discussion
- refusal to comply with faculty direction
- repeatedly leaving and entering the classroom during class without authorization
- making hostile remarks to or about other students in the class, other groups of people or the instructor
- making physical or verbal threats to the faculty member or fellow classmates
- targeting individuals with disparaging comments because of their membership in a particular group

5. Discouraging Disruptive Classroom Behavior

Freedom of Expression

Freedom of expression on academic topics is encouraged and to be respected by both students and faculty. While this allows for the expression of disagreement and debate, classroom behavior is expected to reflect the values of civility and respect.

Clear Expectations

Instructors are responsible for the management of the classroom environment. At the beginning of the semester, clearly state expectations about disruptive behavior that interferes with academic or administrative functions. Students may not see their behavior as uncivil, rude, or disruptive. Please discuss expectations. Clear expectations, courtesy, fairness, and consistency are key elements in working through progressive discipline.

By articulating what you expect from students, you will encounter fewer problems. Be as specific as possible. For example, do you want students to raise their hand for permission to speak? Do you want students to inform you if they need to be late for class or have to leave early? Do you want cell phones turned off? Explain the reasons for your classroom expectations, and encourage student comments and suggestions. Add their suggestions to your list. Most students want to help you create a positive, safe, and productive learning environment. Enforce your expectations consistently; this helps students avoid harsher consequences if misbehavior continues. Verbally express enforcement to students in class, and incorporate enforcement and expectations into your syllabus.

Syllabus Suggestions

The KIMEP Syllabus format provides guidelines for the content of your syllabus. Link to [kimep.kz>faculty>faculty profile>faculty>course syllabuses](http://kimep.kz/faculty/faculty_profile/faculty/course_syllabuses). Including a clear statement of your classroom expectations in your syllabus can be very helpful in minimizing classroom disruption. If you find it necessary to make changes to your written syllabus, clearly communicate the changes to students in a timely manner.

In addition to clearly outlining your expectations (e.g., cell phones turned off, raise hand before speaking), you may want to incorporate the following statements in your syllabus. These are examples, which may be modified to fit the philosophy or expectations of your class.

Civility in the Classroom

To make our time together as valuable as possible, we all have to work hard at it. The following basic principles may give us some guidelines:

- Every student has the right to learn as well as the responsibility not to deprive others of their right to learn.
- Every student is accountable for their own actions.

In order for you to get the most out of this class, please consider the following:

- Attend all scheduled classes and arrive on time. Late arrivals and early departures are very disruptive and violate the first basic principle.
- Please do not schedule other activities during this class time. I will try to make class as interesting and informative as possible, but I can't learn the material for you.
- Please let me know immediately if you have a problem that is preventing you from performing satisfactorily in this class.

6. Maintaining Confidentiality

Information obtained while speaking with a disruptive student privately should be handled in a confidential manner. You may only discuss allegations against identifiable students with individuals who have a role in the disciplinary process or a legitimate need to know. Examples include your department head, Dean of your collegiate unit, and the director of the Office of Student and Community Standards. Do not share personally identifiable information from a student's education record (e.g., grades, reports of misconduct) with TAs or other instructors.

7. Responding to Disruptive Behavior in the Classroom

A. Immediately address any behavior that is inappropriate, before it escalates. It is often a mistake to assume that disruptive behavior will cease on its own.

B. Some behavior is more irritating or distracting, as opposed to disruptive. Students are often unaware their habits or mannerisms are distracting.

C. Speak to the student after class or during your office hours.

D. Avoid direct confrontation with a student in the classroom. Rather, use a general word of caution in a positive manner. For example, "We have too many conversations taking place. Let's focus on today's topic." Or, "please raise your hand if you have something to say." Be calm, respectful, and nonthreatening; do not become defensive.

- i. Another option is to casually walk toward the student (or general area) where disruptive behavior is occurring. Your presence in the area may be enough to curb the behavior.
- ii. In rare circumstances, you may find it necessary to speak to a student during the class regarding disruptive behavior. Try to do so in a positive, courteous manner, indicating that you can meet after class to discuss the situation in private.

E. If a student is persistent in their disruptive/problematic behavior, hand the student a note to see you after class or during your office hours.

- i. If appropriate, have someone present to serve as a witness.
- ii. If you feel threatened by the student, keep your office door open or meet in a safer location. Let someone know where and when you will be meeting.
- iii. Discuss the problematic behavior with the student early on.
- iv. Carefully and explicitly explain why you believe the behavior is disrupting the learning environment in your classroom.
- v. Allow the student a chance to respond and explain their behavior.
- vi. Listen to the student, as there may be personal problems or serious health concerns contributing to their behavior. While this does not condone their behavior, you may be able to refer students to campus resources through the Office of Student Affairs.
- vii. Consider creating a "behavior contract" with the student.
- viii. Depending on the outcome of the meeting, you may want to warn the student that you may ask them to leave the classroom if the misbehavior continues.

F. If the inappropriate behavior continues after having spoken with the student, you may ask the student to leave the class for the remainder of the period.

- i. Be prepared to hand the student a note asking that they leave, rather than having a confrontation in the classroom.
- ii. In private, inform the student the reason(s) they were asked to leave.
- iii. When meeting with the student, express what concerns you have. Give the student an opportunity to explain their behavior. To avoid misinterpretation, repeat what you think the student has said. Brainstorm with the student on possible solutions to the problem.
- iv. Explain the consequences if the change does not occur. For example, you may ask a student to leave a class each time there is a disruption, or make a referral to the Student Affairs for a possible violation of the University Code of Behavior.
- v. When you have reached an agreement with the student, clearly articulate this to the student. You may want to put this in writing to the student.

8. Identifying Potential for Dangerous Behavior

Faculty and staff are the first university community members to meet students with potential for dangerous behavior. Active involvement in threat assessment by members of the campus community is the best method of preventing a serious act. In nearly every instance of violence on campus there is a pattern of actions, writings, and utterances by the perpetrator that is a clear indication of trouble ahead. In many campus tragedies there are significant indicators that are missed, observed and dismissed, or observed and unreported. Not every unexplainable activity or action is cause for alarm. At the same time, it is the collection and analysis of the reports of these activities that may indicate future problems.

While faculty and staff are not expected to formally assess the potential danger of students, it is important to be aware of factors that might serve to elevate the risk of violence. The following behaviors may indicate instability and the potential for violent acts:

- A social history of being an outsider or having suffered significant rejections or torment from peers.
- Evidence of past violent behavior.
- Severe discomfort in social settings.
- A history of encounters with police or other authorities related to threatening or violent behaviors.
- A record of substance abuse.
- A history of stalking, harassment, or surveillance of other individuals.
- An identification with, or praise for, perpetrators of violence.
- A preference for websites, movies, music lyrics, other media with violent themes/degrading subject matter.
- A fascination with weapons.
- Justification for violence, such as “an eye for an eye.”
- A belief that violence is the only way to achieve goals.
- A lack of acceptance of blame in any situation.
- Desire to avenge the wrongs done to others.
- Dramatic changes in personality.
- Escalation of behaviors in frequency or level.
- Talk of suicide, suicidal thoughts, or hopelessness.

The following examples in the content of academic work should raise serious concerns about a student's psychological state and signal the need for intervention:

- Incoherent or bizarre writing.
- Overuse of profanity.
- Disclosure of previous abuse and trauma.
- Artwork depicting real or imagined traumatic events or violence.
- Explicit sexual violence.
- Threats of violence to be perpetrated.
- Disturbing content which is inappropriate to the assignment.
- A preponderance of dark, negative, or jarring images and themes in the student's work.
- Themes of rejection, entitlement, grandiosity, attention seeking, or revenge.
- Characters whose actions are disproportionate to the events in the narrative.
- Content so extreme or profane that it does not serve any reasonable purpose.
- Content that is a dramatic departure from the student's social demeanor.
- Presentations that create concern for personal safety among fellow classmates.
- Characterization of the student as an avenger

9. Document all serious instances of classroom disruption. Documentation should include what happened, the names of any witnesses, the date and time, and what steps you have taken to address the problem. Be as factual and objective as possible, and try to avoid judgment words that may misinterpret what actually occurred or was spoken. This documentation is important should there be a referral for disciplinary action through the Office of Academic Affairs. The documentation becomes part of the student's educational record, and the student is entitled access to this information.

10. Save any threatening or offensive e-mail or voice-mail messages

Forward these messages to Student Affairs at assistsa@kimep.kz.

11. If you feel threatened or alarmed or there is unlawful behavior, call Campus Security at 237-47-66.

KIMEP University Faculty Code of Practice

12. KIMEP University Faculty/Staff Responses to Concerns about Behaviors: Decision Table Consultations and Referrals

Phone calls to make in order of priority: 1 = Initial Contact (Code Red = urgent emergency response) 2 = Further Contact(s) 3 = Additional Consultation	Campus Security	Almaty Police	Student Affairs Counseling Medical	Learning Support Center	Chairs, College Disciplinary Committees	VP Academic Affairs
Telephone numbers	237-47-66	102	237-48-21	270-43-10		270-42-36
You are concerned about a person who:						
Holds a gun or other weapon	1	2	3			3
Poses an immediate threat to self or others or is aggressive	1	2	3			3
Writes or verbalizes a direct threat to another person	1		2			3
Talks about homicide	1	2	3			3
Is a victim of violence or stalking	1	2	3			
Appears to have a medical incident in class (e.g., seizures, fainting)	1		2			
Talks about suicide			1			2
Is a victim of sexual assault	1	2	3			
Shows bizarre behavior considering existing actual situation			1			
Displays inappropriate anger or hostility	1		2			3
Seems excessively emotional (e.g., depressed, demanding, disturbing)	1		2			3
Comes drunk or high to class	1		2			3
Shows signs of alcohol or drug abuse	1		2			3
Continuously disrupts class or refuses to stop			2		1	3
Is the subject of complaints by other students about class behavior			1			
Is a victim of intimidation			1	2		
Is struggling with illness or death of a family member			2	1		3
Makes disparaging comments about a particular group of people			2	1		3
Reports sexual harassment or civil rights violated			2	1		3
Is suspected of cheating on class assignments, exams					1	
Has been absent from more than 5-6 class meetings			2		1	3

Appendix VII-3 — Responding to Emergency Situations

PROCEDURE: MEDICAL EMERGENCIES

1. **Stay calm. Assess the situation.** Look for a Medic Alert bracelet or necklace on the person requiring help.
2. **Have someone call Campus Security at 237-47-66.** If you are alone, yell as loudly as possible for help. If you are unable to summon help, you have to call **237-47-66** first, then return and assist the person to the best of your ability (see below).
3. **When calling 237-47-66, give the officer as much information as possible,** i.e., type of emergency, what help is needed, exact address, building name, room number, telephone number, information from Medic bracelet or necklace, and victim information.
4. **Do not move the victim.**
5. **If the victim is unconscious:**
 - **CALL:** Check the victim for unresponsiveness. If there is no response, **Call 237-47-66** and THEN return to the victim. In most locations the emergency dispatcher can assist you with CPR instructions.
 - **BLOW:** Tilt the head back and listen for breathing. If not breathing normally, pinch nose and cover the mouth with yours and blow until you see the chest rise. Give 2 breaths. Each breath should take 1 second.
 - **PUMP:** If the victim is still not breathing normally, coughing or moving, begin chest compressions. Push down on the chest 1 1/2 to 2 inches 30 times right between the nipples. Pump at the rate of 100/minute, faster than once per second.
 - **CONTINUE WITH 2 BREATHS AND 30 PUMPS UNTIL HELP ARRIVES**
NOTE: This ratio is the same for one-person & two-person CPR. In two-person CPR the person pumping the chest stops while the other gives mouth-to-mouth breathing.
6. **If the victim is choking:**
 - Make sure they are coughing and getting air.
 - If the victim cannot speak or cough, and you think something maybe lodged in their throat, from behind, slip your arms around the victim's waist. Make a fist with one hand and grasp with the other hand. Place your fist right above the navel area. Press into the abdomen with quick upward thrust. Repeat until the object is removed, or the victim starts breathing or coughing.
7. **If the victim is bleeding:** Use rubber gloves (contained in the first aid kit) and apply pressure to the area. If possible, elevate bleeding area above level of the heart.
8. **There is a First Aid and CPR guide located in all first aid kits.** These guides give detailed steps in the event of a heart attack, CPR and infant CPR, choking, bleeding, poisoning, and burns, as well as other injuries.
9. **Support Services recommends First Aid/CPR training** for a handful of building volunteers to assist with medical emergencies associated with building evacuation and emergencies.

PROCEDURE: FIRE EMERGENCIES/BLDG. FIRE ALARMS

1. Procedures for Occupants

1. **When an alarm sounds on your floor or area, begin immediate evacuation** following your plan. Close doors behind you.
2. **If you discover a fire, activate the nearest pull station and call Campus Security 237-47-66.** Then you may attempt to put it out if it is small (no larger than a wastebasket) and you have called for HELP. If the fire is too large or you are uncomfortable or unfamiliar with the proper use of a fire extinguisher, simply close the door and evacuate.
3. **If the fire alarm does not work, call Campus Security 237-47-66 and notify occupants verbally** of the emergency and the need to evacuate. Evacuation Wardens or another responsible party needs to confirm that all occupants are notified.
4. **If you are on fire, STOP---DROP---ROLL. If another person is on fire, yell---STOP---DROP---ROLL.**
5. **Evacuate via the nearest stairwell or ground level exit.** Do not block/wedge exit doors in an open position. The doors must remain closed to keep smoke out and keep them safe for evacuation and fire personnel. Leaving doors open makes the stairwells dangerous and unusable. Persons with physical disabilities have several options.
6. **Go to your pre-determined Evacuation Assembly Point (EAP).** Immediately report to your designated Evacuation Warden so that you have been accounted for by the Warden. Evacuation Wardens will report to the Director of Support Services.
7. **If you are trapped** by smoke, stay low, cover your mouth with wet cloth, stay near a window, open it but do not break it, hang something out the window to let fire personnel know you are there and put something in cracks around the door, phone **Campus Security 237-47-66** if possible.

DO NOT USE THE ELEVATORS!

When an alarm is sounded many of the elevators will be automatically recalled to a pre-determined floor and shut-off.

2. Special Instructions for Evacuation Wardens

1. **Begin at the farthest reach of your area and assure that the occupants ahead of you have evacuated.** Conduct a quick search as you go to make sure hazardous equipment is shut off, doors are closed and no one is left behind. If there is smoke in the hall, stay low, cover your mouth with a damp cloth or handkerchief, visualize where the exits are, stay close to and use the wall to guide you so you do not become confused. If there is no smoke, you may have trouble getting people to evacuate. Be strong, positive and insistent. Students and visitors who may not be familiar with this plan must be informed of the requirement to evacuate.
2. **Direct occupants to the exits and tell them where to reassemble.** If you have helpers, station them in front of the elevator to make sure no one attempts to use it. **Do not go to the roof unless it is the only way out.** There are often too many obstructions for a helicopter rescue. If a stairway is full of smoke go to another stairway.
3. **At the Evacuation Assembly Point (EAP),** conduct a headcount by using a checklist to account for all occupants in your area of responsibility. Immediately report to the Evacuation Director any missing persons on your list and their last known location.
4. **Do not allow the stairway doors and other exit doors to be blocked/wedged open.** Leaving stairway doors blocked or held open makes the stairwells dangerous and unusable.
5. **Special attention needs to be given to any persons with disabilities,** in particular those who are visitors and unfamiliar with the building. Please insure they are notified and accounted for.

PROCEDURE: EARTHQUAKES: During ALL Earthquakes (all occupants)

Inside a Building.

1. Take cover immediately under a desk, table, or Chair, in a corner away from windows, along a wall in a hallway, or at a structurally strong location such as a pillar/column in a hall.

Drop, Cover, and Hold

2. Watch for falling objects such as light fixtures, bookcases, cabinets, shelves, and other furniture that might slide or topple. Stay away from windows. Do not run outside.
3. Do not dash for exits since they may be damaged and the building's exterior brick, tile, and decorations may be falling off.
4. Do not use the elevators.

Outside a Building

1. Remain outside, preferably in a vehicle
2. Stay clear of electrical wires, poles, trees, or anything that might fall.

After a MAJOR Earthquake (*violent shaking motion*). Evacuation Wardens shall:

1. Check for injuries to personnel in your area. Do not attempt to move seriously injured persons unless they are in immediate danger. Render first aid assistance if required.
2. Check for fires or fire hazards, spills of flammable or combustible liquids, or leaks of flammable gases. These activities must not significantly delay departure from the building or put the Evacuation Warden in danger.
3. Turn off ignition and heat sources if properly trained and it is safe to do so.
4. Shut off all gas sources if trained to do so.
5. Exit the building, if possible, and go to the Evacuation Assembly Point (EAP) to report on injuries, damages, and potentially hazardous conditions. Take emergency/first aid kit and personal belongings. Account for persons in your area of responsibility.

Be familiar with the location of first aid kits, fire alarms, and extinguishers, as well as personnel with first aid skills.

1. **Do not reenter until the building has been declared safe** by trained emergency personnel.
2. **Use the telephone system only for urgent matters.** Call or send a runner to the Support Services Department to notify them of any needed assistance and emergencies that may exist. Use handheld radios or Ham radio services if telephone services are not available.
3. Expect Aftershocks.

After a Minor Earthquake (*brief rolling motion*)

1. Restore calm.
2. Examine your area for damage. Evacuation Directors may help assess if the building should be occupied, evacuated, and/or re-entered. Look for
 - Damaged, leaking or ruptured utility lines (gas, water, electrical, telephone, computer network)
 - Toppled furnishings or equipment
 - Spilled hazardous materials
 - Damaged building components such as ceilings, walls, beams, columns, doors
3. Evacuate the building if damage is found or the power is out. Report evacuation to Campus Security. Do not reenter until the building has been declared safe by trained emergency personnel.

PROCEDURE: BUILDING LOCKDOWN—Active Shooter

A Lock Down is a procedure used when there is an immediate threat to the building occupants. In the event of a Lock Down, students, faculty and staff would be instructed to secure themselves in the room they are in and not to leave until the situation has been curtailed. This allows emergency responders to secure the students and staff in place, address the immediate threat and remove any innocent bystanders from immediate danger to an area of safe refuge.

- Stay in your room or office and barricade the door. Remain quiet.
- Do not attempt to leave the building or room. Wait until emergency personnel give you an “all clear!”

An active shooter is an event in which one or more persons are actively engaging in killing or attempting to kill people. In most cases, active shooters use firearms, and there is no apparent pattern or method to their selection of victims. These situations are dynamic and evolve rapidly, with immediate deployment of police officers to stop the shooting and reduce harm to other people.

If faced with an active shooter, there are THREE things you can do that make a difference. RUN, HIDE, FIGHT.

RUN – When an active shooter is in your vicinity:

- If there is a way out, and you can get out, GET OUT! This is your first and best option.
- Get out whether others agree to or not.
- Leave your belongings behind.
- Help others from entering the danger zone.
- Call Campus Security at **237-47-66** as soon as it is safe to do so.

HIDE – If evacuation is not possible, find a place to hide.

- Lock and/or barricade the door.
- Silence your cell phone, including the vibrate feature.
- Hide behind large objects if possible.
- Remain very quiet and do not leave until directed by law enforcement officers.
- Your hiding place should:
 - Be out of the shooter’s view.
 - Provide protection if shots are fired in your direction.
 - Do Not trap or restrict your options for movement.

FIGHT – AS A LAST RESORT, and only if your life is in danger:

- Attempt to incapacitate the shooter.
- Act with physical aggression.
- Improvise weapons and commit to your actions.
- Once the shooter is incapacitated, call Campus Security at **237-47-66**.

RESPONDING TO POLICE – When police officers arrive:

- Keep your EMPTY hands raised and visible, with your fingers spread apart.
- Remain calm and follow instructions; avoid pointing or yelling.
- The first police officers to arrive will go directly to the shooter.
- Know that help for the injured is on its way. Rescue team officers and emergency personnel will care for the injured as soon as possible.
- The area is a crime scene. Police officers may secure all witnesses until identified and questioned.

PROCEDURE: BOMB THREATS

1. University personnel receiving telephoned threats should **attempt to get the exact location where the bomb has been planted**, or is going to be planted.
2. Attempt to **get as much information as possible about the caller**, for example, male or female, accent, etc. (use **Bomb Threat checklist** on following page).
3. **Listen for any background noise** that may indicate the location of the caller.
4. The checklist on the next page lists information that can aid in locating a bomb. **Complete the checklist as soon as possible** after receiving a threatening call and report it immediately to the Campus Security at **237-47-66**.
5. **Bomb threats received through the mail** or by other means are also to be reported immediately to the Campus Security at **237-47-66**.

BOMB THREAT CHECKLIST

Exact time of call _____
Exact words of caller _____

QUESTIONS TO ASK

1. When is the bomb going to explode? _____
2. Where is the bomb? _____
3. What does it look like? _____
4. What kind of bomb is it? _____
5. What will cause it to explode? _____
6. Did you place the bomb? _____
7. Why? _____
8. Where are you calling from? _____
9. What is your address? _____
10. What is your name? _____

CALLER'S VOICE (circle) Male Female

- Calm
- Stutter
- Giggling
- Stressed
- Disguised Nasal
- Angry Lisp
- Broken Rapid
- Slow Deep Accent
- Sincere Crying
- Squeaky Slurred
- Excited Normal
- Loud

If voice is familiar, whom did it sound like? _____
Were there any background noises? _____
Person receiving call: _____
Date: _____ Telephone number call received at: _____

REPORT CALLS IMMEDIATELY TO: Campus Security 237-47-66