

**KAZAKHSTAN INSTITUTE OF MANAGEMENT, ECONOMICS AND  
STRATEGIC RESEARCH (KIMEP)**

**FACULTY CODE OF PRACTICE  
AND  
ACADEMIC PROCESSES**

**Approved by KIMEP Council**

**May 29, 2006**

## **Preface to the Revised Edition**

The Faculty Code of Practice planned and written in the year 2000 has been revised in the light of rapid changes that KIMEP has gone through in the last four years. Most of the items contained in this edition have already been approved and are in practice. Some important additions are Tenure & Promotion, Research, Advising and Quality Assurance Policies. Many faculty members including some Chairs have expressed that they are not sure about what exactly the “Quality Assurance” entails. Section 8 details the criteria for quality assurance and self-assessment. I hope that the faculty and academic administrators will find this section useful for writing self-assessment reports and strategic presentations. As we prepare KIMEP for international accreditation, every faculty member must have a fair knowledge of code of conduct, quality assurance and self-assessment processes. It will allow faculty members’ full participation in the process and in developing and maintaining quality academic programs. In addition, this will be an important aspect of international accreditation consideration.

Every faculty member and academic administrator must read this document carefully and must abide by the rules and policies stated in the document. In case of conflicts, confusion and difference of opinion, the matter must be brought to the attention of Chairs and Deans for further explanation and interpretation. While the document guarantees academic freedom, all faculty members and academic administrators must work within the norms and confines of the policies stated in the document.

M. H. Rahman  
Senior Vice President of Academic Affairs

## **Introduction**

KIMEP is a non-profit institution of higher education offering credit-based undergraduate and graduate programs in a number of disciplines such as Business Administration, Accounting, Finance, Information Technology, Economics, Public Administration, Political Science, International Relations, and Journalism & Mass Communication. It also offers a number of professional training programs designed to enhance Business, Management, Public Relations and Administrative capabilities of executives in Kazakhstan and elsewhere. Such programs provide short-term seminar training to executives in the areas of management, accounting, finance, banking, computer skills, information systems, human resources development and foreign languages.

KIMEP recognizes academic freedom as indispensable to the purposes of an academic institution. Freedom of faculty members to study, to teach, to conduct research and to conduct other academic activities to their best judgment is necessary if an academic institution is to fulfill its role in society. Accordingly, academic freedom is the right of every faculty member from the time each is first appointed.

However, academic freedom carries with it the duty to use that freedom in a responsible way with due regard to the policies of the Institute and the rights of others within the institution's community and the community at large. It also carries with it an obligation to strive for excellence in teaching, in research and scholarship, to devote time to students and to play an effective role in the work of the department and the institution as a whole.

KIMEP further recognizes that the protection of academic freedom requires that decisions affecting individual faculty members be made in a consistent manner according to established principles and standards, applied through fair and reasonable procedures. The central goal of KIMEP is to promote the advancement of learning and dissemination of knowledge through teaching, research and scholarly activities. It is, therefore, imperative that KIMEP establishes a well defined and well structured code of practice for the teaching faculty so that the stated goals and objectives can be achieved in the most efficient manner possible. It is the responsibility of each faculty member and academic administrator to read this document and to abide by the provisions and stipulations therein.

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## **SECTION I: Faculty Classifications and Types of Appointments**

### **Preamble**

The faculty ranks at KIMEP are lecturer, senior lecturer, assistant professor, associate professor and professor.

### **Full time**

An individual can be a full time, part time or adjunct member of the teaching faculty. A full time member is an individual who works on an annual basis with KIMEP in different activities such as teaching, research, academic administration and consulting.

### **Part time, Visiting and Adjunct**

A part time, visiting or adjunct faculty member is an individual who does not work at KIMEP on an annual basis and who may hold a job at another institution at the same time. A part time/visiting/adjunct faculty member, depending on qualifications and experience, is entitled to hold a similar academic rank to his/her full time counterpart. A full time faculty member who does not complete a minimum of one academic year of service on a continuous basis shall be considered to lose full time status and shall be considered as a part time faculty member.

### **Conditions**

All initial full time faculty appointments at KIMEP shall be date specific. Appointments at the ranks of assistant to full professor are tenure track appointments for doctorate or terminal degree holders, and appointments at the ranks of lecturer and senior lecturer are non-tenure track appointments. Under no conditions shall an initial appointment be made on an indefinite tenure basis. The contractual agreement shall specify such items as rank, department, salary, obligations on employer's part, obligations on employee's part, period of the contract, tenure status, and any special pre-requisites.

### **Types of Appointments**

The following types of appointment shall be in force:

- Regular full time appointment with tenure track status
- Regular full time appointment with non-tenure track status
- Part time and adjunct appointment (one semester basis)
- Visiting appointment (for one semester or one year)
- Special appointment

## **1.1 Faculty Classifications**

### **A. Lecturer**

This is a non-tenure track faculty position. To be appointed to this position, an individual must have a Master's degree from a recognized university in his/her field of specialization. No teaching or professional experience is required to be hired in this rank. The main professional endeavors comprise a combination of teaching, research and other academic services as may be determined by the individual's department. He/she is responsible to the Chair of the department.

### **B. Senior Lecturer**

This is a non-tenure track position. To be appointed to this position, an individual must have a Master's degree from a recognized university in his/her field of specialization with at least three years of teaching, research and scholarly experience at an institution of higher education. Evidence of successful teaching and research is required for appointment or promotion to this position. KIMEP research working papers, case studies, conference papers and/or a published paper in a professional journal may be considered as evidence of research. Research work will be first evaluated at department and college levels, and finally by the Dean of Research. The research requirements can be waived for a faculty member involved with academic administration, committee work, or course coordination. He/she is responsible to the Chair of the department.

### **C. Assistant Professor**

A tenure track appointment at the rank of assistant professor is the entry level professorial appointment on probationary terms for terminal degree holders. The candidate must have a Ph.D. or an equivalent terminal degree from a recognized university, preferably from the Western world, in his/her field of specialization. Evidence of scholarly research, completion of a thesis and at least one publication in a journal of international repute is required for appointment to this position. He/she is responsible to the Chair of the department.

### **D. Associate Professor**

An associate professor promoted to that rank by KIMEP shall have tenure. An associate professor appointed to that rank from outside KIMEP shall have tenure track status on probationary terms. The candidate must have a Ph.D. or an equivalent terminal degree from a recognized university, preferably from the Western world, in his/her field of specialization. The candidate must satisfy all the conditions of a tenure track appointment or promotion to this rank as outlined in the KIMEP Tenure and Promotion Policy. Evidence of successful teaching, research, academic administration and scholarly

activities beyond the Ph.D. at an institution of higher education or at KIMEP is required. The appointee must have at least three research papers published in journals of international repute which should show high quality of research as judged by experts in the appointee's field of specialization. The research work will be evaluated at department and college levels, and finally by the Dean of Research. He/she is responsible to the Chair of the department.

## **E. Professor**

A professor promoted to that rank by KIMEP shall have tenure. A professor appointed from outside KIMEP shall have tenure track status on probationary terms. The candidate must satisfy all the conditions of appointment as outlined in the KIMEP Tenure and Promotion Policy. A Ph.D. or an equivalent terminal degree from a recognized university in his/her field of specialization, preferably from the Western world, with evidence of at least eight years of teaching, research, academic administration and scholarly activities beyond the Ph.D. is required for appointment or promotion to this position. The appointee must have a combination of high quality teaching and research experience, as judged by experts in his/her field of specialization, with at least seven publications in journals of international repute. Research work will be evaluated at department and college levels, and finally by the Dean of Research.

**Exceptions:** Exception to the above conditions of appointment and promotion, following the provisions of Tenure and Promotion, can be made with the simultaneous recommendation of the department, the college and the KIMEP T & P Committee. The final approval authority is the President of KIMEP.

## **1.2 Types of Faculty Appointments**

### **A. Regular full time tenure track appointment**

A regular tenure track appointment is a probationary appointment leading to consideration for indefinite tenure within a specified period of time. It applies to faculty members with terminal or doctorate degrees. A faculty member on probationary appointment is entitled to:

- consideration for indefinite tenure
- a timely notice of termination in accordance with the contractual agreement

A faculty member with indefinite tenure is entitled to retain his/her position until retirement in accordance with the Tenure & Promotion Regulations, unless the appointment is terminated pursuant to the provisions of section 2.10.

A regular appointment must be held in an academic unit, and must be for one or more academic years.

### **B. Regular full time non-tenure track appointment**

A regular non-tenure track appointment applies to those who do not possess a doctorate or a terminal degree but who possess a master's or equivalent degree. The faculty member is entitled to:

be reviewed annually for continuation of the probationary contract  
consideration for promotion from lecturer to senior lecturer  
a timely notice of termination in accordance with the contractual agreement

### **C. Part-time, visiting and adjunct appointment (term appointment)**

A part-time or adjunct appointment is for one semester, and date specific. A visiting appointment may be made for one semester or one academic year. The appointment terminates at the end of the contract period without further notice to the appointee. No number of renewals of a term appointment creates a right to a regular appointment, or to a decision concerning tenure track or tenure. This appointment is appropriate for part-timers, visiting and adjunct faculty.

### **D. Special appointment**

KIMEP may designate special faculty appointments to those who possess unusual qualifications in teaching, research, academic administration or public service, but for whom none of the regular faculty ranks is appropriate. Such appointment can be regular full time or term specific. Tenure consideration may be given to those who hold regular appointments and who satisfy the tenure criteria.

## **1.3 Other teaching appointments**

### **1.3.1 Instructor**

This is not a tenure track or non-tenure track faculty position. To be appointed to this position, an individual must have a minimum of a Bachelor's degree or Diploma from a recognized university in an appropriate field of specialization. No teaching or professional experience is required to be hired in this rank. The main professional endeavors include teaching and other academic services in the service units such as the Language Center or the Computer and Information Systems Center. He/she is responsible to the Director of the Center.

### **1.3.2 Teaching Assistants (TAs)**

The minimum qualifications for full time TAs with 40 hrs/week of workload is a master's degree in an appropriate field. Part time TAs can be graduate students (e.g. master's students) with 10-20 hrs/week of workload. In some exceptional cases, 4<sup>th</sup> year undergraduate students may be appointed as part time TAs with the approval of the department and the dean.

TAs are required to perform the following duties under the supervision of a faculty member:

- Planning and framing assignments under the supervision of an instructor
- Grading assignments under the supervision of an instructor
- Conducting tutorials and group discussions
- Attending main lecture sessions with instructors
- Taking part in examination proctoring with the instructors

#### **Training of TAs:**

A one-week training session is required of each TA before he/she can be assigned to tasks. This period is included in the paid employment period. Each department must initiate this training before classes begin. Initial training sessions must be conducted by peers (faculty members) in a formally structured collective session (which include all departmental TAs).

Topics to cover:

- Background of the department and its program mission
- How courses are delivered and managed
- KIMEP grading and student attendance policies
- Specific responsibilities for grading
- Specific responsibilities for conducting tutorials
- Office hours and student concerns: what an instructor expects of TAs
- Samples of course syllabi with weekly breakdowns
- Samples of grading schemes (of any particular course)
- Integrity
- How TAs are evaluated continuously and at the end of a semester
- Consequences of negligence and bad performance
- Others as needed

#### **Individual Instructor's responsibility:**

Instructors must make sure that each TA has gone through the training sessions. Meet with them periodically, explain to them what you expect and the philosophy and objectives of the courses you are teaching. Make sure that each TA has proper conditions for grading free of interference. Tell or provide them with the following:

- Clear course outlines

- Sample grading scheme for each assignments and tests

For actual grading, ask them to grade a few papers first. Review those and make corrections. Ask the TAs to follow the scheme for the rest. This minimizes errors and risks.

- TAs are not to announce grades/marks to students until the instructors clear it

- Instructors or peers should attend a few sessions of a TA's tutorials to make sure about the quality

- Instructors evaluate TAs periodically and make a report to the Chair

### **1.3.3 Research Assistants (RAs)**

Research assistants assist a faculty member or a group of faculty members in research. In addition, they may take active part in research and publish joint papers with the instructors. Full time research assistants with 40 hrs/week of workload must be master's degree holders in relevant fields. Graduate (master's) students can be hired as part time RAs with 10-15 hrs/week of workload.

The main tasks of a RA consist of assisting and working with an instructor or a group of instructors in all aspects of research activity, in particular in the following areas:

- Identification and framing of research problems

- Developing research proposals

- Literature search, survey and review

- Develop a research instrument including a searchable database of information based on research topics

- Collection and analysis of data

- Publishing joint papers where appropriate

- Participation and contributions in departmental seminars and workshops

RAs should be properly trained, coached and mentored about the research objectives, philosophy and directions of the department. Each supervisor is required to explain and elaborate the research areas, topics, themes, methodology and other functions before assigning the RAs to actual tasks. All RAs should be evaluated on a continuous basis and the findings reported to the department.

## **SECTION II: Faculty Tenure and Promotion Policy**

### **Preamble**

The main aim of a tenure system is to establish a bond of integrity between the faculty and other constituencies of the Institute. It allows faculty members to fulfill their professional obligations and the Institute to fulfill its mission. The long-term interest of the Institute is best served by attracting and retaining a competent and principled faculty. Tenure allows the building and maintenance of a community of learning marked by stability and trust.

A well designed tenure and promotion system has many purposes:

It ensures job security and academic freedom of the faculty and assists the Institute in attracting and retaining faculty members of high quality. It protects faculty members in their activities such as teaching, research, publication and other scholarly presentations from pressures to alter their best professional judgment.

It strengthens institutional stability by enhancing faculty members' institutional loyalty, and ensures academic excellence by retaining and rewarding the most able faculty.

It constitutes a mutually advantageous arrangement between the Institute and the faculty member: the Institute engages to provide continuing employment to the faculty member, and the faculty member in turn engages to maintain competence in teaching, research and scholarship.

### **2.1 Tenure Consideration**

The tenure regulations provide a comprehensive set of policies dealing with the relationship between the Institute and its faculty. The regulations classify the faculty as either regular probationary, term, special appointment, or tenured. They provide for annual performance reviews, as well as thorough reviews before the granting of tenure, on promotion in rank, and when the performance of a tenured faculty member is alleged to be substandard. They provide for the reassignment of faculty in case of the reorganization of the Institute or changes in its scholarly direction, and for disciplinary actions when a faculty member fails to meet prescribed standards of conduct.

To give KIMEP ample opportunity to evaluate the performance of faculty members, regular probationary appointments shall be for an initial period of four years. A probationary appointment continues until it is superseded by an indefinite tenure appointment, or until timely notice or resignation. All incoming and existing faculty members from Assistant Professor to Professor ranks shall be considered as tenure candidates according to the tenure rules and regulations. Prior years of full time teaching service at KIMEP shall count towards tenure consideration. Years of service in part time

teaching or any combination of part time teaching, time spent for graduate or professional degrees and leaves of absence of any kind shall not be counted towards tenure.

All faculty members in the ranks of Lecturer and Senior Lecturer shall be considered as non-tenure track candidates.

- 2.1.1** For a tenure track appointment, KIMEP expects full academic preparation, e.g. completion of a doctorate or an appropriate terminal degree. The appropriate terminal degree, other than the doctorate, will be determined at the time of appointment by the Dean in consultation with the department, the Senior Vice President of Academic Affairs and the President.
- 2.1.2** Only in exceptional circumstances will an individual be considered for appointment to tenure without a doctorate or a terminal degree in his/her field.
- 2.1.3** Tenure will not be granted for administrative positions such as Chairs, Deans, Vice Presidents and the President.
- 2.1.4** The following steps will be followed leading to indefinite tenure consideration:

Regular four-year tenure track probationary appointments for all faculty members holding terminal or doctorate degrees. The first review will be held in the third year. Consideration for indefinite tenure shall be held in the fourth year

Regular four-year non-tenure track probationary appointment for non-terminal or non-doctorate degree holders. After successful completion of this period, another three year non-tenure tenure track probationary appointment may be awarded to those faculty members who show unusual talent for teaching, scholarship, research and public service. During the period of their service at KIMEP these faculty members shall be allowed to participate in a faculty development plan, which will assist them in their preparation for tenure consideration.

## **2.2 Pre-Tenure or “Tenure Track” Period**

- 2.2.1** In normal circumstances, a regular probationary appointee holding a doctorate or a terminal degree is a candidate for indefinite tenure. The first three years shall be considered as the “Tenure Track” period. Credit given for prior teaching, research and other scholarly services at other institutions shall be determined by the Tenure and Promotion Committees at department and college levels. Leaves of absence shall not be considered as part of the service period towards tenure.
- 2.2.2** For non-terminal or non-doctorate degree holders, there is no fixed pre-tenure period. If and when a candidate demonstrates exceptional eligibility and satisfies the tenure criteria and standards, that candidate may be considered for a tenure track appointment.

### **2.3 Pre-Tenure Review**

A probationary appointment shall be reviewed annually by the department in which the appointment is held. Depending on performance, a faculty member may either be given:

- a timely notice of termination
- or be allowed to continue with the employment

During the third year, faculty members holding terminal or doctorate degrees shall be eligible for a pre-tenure review. A major purpose of this evaluation shall be to aid the candidate in identifying strengths and weaknesses and in improving his/her performance as a faculty member. The criteria to be applied in this review shall be rigorous. The tenure-track faculty member must demonstrate that he/she should be allowed to continue on towards tenure. Otherwise an appropriate letter of termination in the fourth year or continuation of the contract on probationary basis shall be given. The evaluation report shall be in writing and a copy given to the candidate.

### **2.4 Final Review**

If the pre-tenure review shows satisfactory performance, the faculty member will be considered for indefinite tenure in the fourth year. The criteria for evaluation and appointment shall be those stated in sections 2.6 and 2.7. The procedures to be followed in applying these criteria shall be those stated in section 2.7. The final approval authority is the President of KIMEP.

Because the tenure criteria are normally similar to the promotion criteria:

- The grant of tenure to an Assistant Professor may be accompanied with promotion to the rank of Associate Professor.
- The grant of tenure to an Associate Professor may be accompanied by a promotion to the rank of Full Professor.
- A Full Professor shall have indefinite tenure.

### **2.5 Exceptional circumstances**

Candidates who do not hold doctorate or terminal degrees are not automatic candidates for tenure consideration. Consideration may be given to those who are known internationally for their outstanding contributions in teaching, research and public services. These candidates shall be evaluated by a distinguished panel of academics at department, college and KIMEP level.

For Lecturers and Senior Lecturers:

- 2.5.1** Denial of tenure to this category of faculty member shall not result in automatic termination of the employment contract.
- 2.5.2** In order to prepare them for tenure consideration in future and upon the recommendation of the Tenure and Promotion Committees, faculty members in the rank of Lecturer or Senior Lecturer may be allowed to take part in an appropriate faculty development plan.
- 2.5.3** Pre-Tenure review shall be only held when a candidate shows remarkable achievement toward tenure consideration.
- 2.5.4** If the faculty member does not demonstrate progress towards tenure consideration, then a terminal letter of appointment may be issued at the discretion of the department and college. Since a terminal degree is not a tenure requirement for these faculty members, the main consideration shall be given to the outstanding contributions of the faculty member in teaching, learning, research publications, curriculum and course development, advising and other services to KIMEP and the society as a whole.
- 2.5.5** Since tenured faculty members are those who hold ranks of Associate Professor or above, tenure to these exceptional faculty members (without terminal degrees) shall be accompanied with a promotion to a rank above Assistant Professor.

## **2.6 Tenure Procedures**

There is a four-step procedural chain for tenure assessment:

Tenure and Promotion Committee at the department level  
Tenure and Promotion Committee at the College level  
Tenure and Promotion Committee at KIMEP level  
The final approval authority is the President of KIMEP

### **2.6.1 Composition of the Committees:**

#### **Departmental Tenure and Promotion Committee**

The departmental committee shall be established by the Chair. Members must be full time tenured or tenure track faculty members holding terminal degrees and with ranks of Assistant Professor or above. The Chair of the department or a faculty member nominated by the Chair of the department shall be Chair of this committee. This committee reports to the Chair of the department.

## **College Tenure and Promotion Committee members**

The College T & P Committee shall be established by the Dean with members derived from constituent departments. Members must be full time tenure track and tenured faculty holding terminal degrees and with ranks of Associate Professor or above. The Dean or a faculty member nominated by the Dean shall be chair of this committee. This committee reports to the Dean.

### **T & P Committees at both levels shall follow the following voting procedures:**

#### **a) Consideration of Full Professors**

Only members of the committee holding the rank of Full Professor shall be present, and consider and vote on the case in question. Others shall be excused from the meeting. Voting shall be taken by secret ballot or open ballot, with the method of voting to be decided by the committee members.

If the number of Full Professors in the College T & P Committee is fewer than three, the Dean may, in consultation with other Deans and department Chairs as appropriate, and with the approval of the Senior Vice President of Academic Affairs, appoint Full Professors from other colleges (so as to form a group of three) to serve as voting members for the case.

If the number of Full Professors in the departmental T & P Committee is fewer than three, the department Chair in consultation with other committee members, and Chairs of other departments within the college, shall request the Dean to appoint Professors from allied departments in such number as to provide a group of three members to serve as voting members for the case.

#### **b) Consideration of Associate Professors**

Only members holding academic ranks of Associate Professor and Professor shall be present, and consider and vote on the case in question. Others shall be excused from the meeting. Voting shall be taken by secret ballot or open ballot, with the method of voting to be decided by the committee members.

If the number of Associate and Full Professors in the College T & P Committee is fewer than three, the Dean may, in consultation with other Deans and department Chairs as appropriate, and with the approval of the Senior Vice President of Academic Affairs, appoint Associate and Full Professors from other colleges (so as to form a group of three) to serve as voting members for the case.

If the number of Associate and Full Professors in the departmental T & P Committee is fewer than three, the department Chair in consultation with other committee members, and Chairs of other departments within the college, shall request the Dean to appoint Associate and Full Professors from allied departments in such number as to provide a group of three members to serve as voting members for the case.

### **c) Consideration of Lecturers to Assistant Professors**

All committee members with the rank of Assistant Professor to Professor shall have the right to be present and vote on the case in question. The minimum number of voting members must be three. If the number is fewer than three, then the conditions of appointment of voting members mentioned in the cases of Associate and Full Professor shall apply.

**Exceptions:** Exceptions to the above conditions can be made for the College of Continuing Education in view of the vocational, adult, and executive education nature of its programs. Such exceptions must be first approved by the KIMEP T & P Committee and then by the President of KIMEP).

### **KIMEP T & P Committee**

The KIMEP T & P Committee shall be appointed by the KIMEP Council. The Chair of this Committee may be the Senior Vice President of Academic Affairs or a senior academic of Professor rank elected by the committee. Other members will include ex-officio members such as Deans of each college, and elected faculty members from the respective colleges. Elected members should preferably hold the rank of Associate or Full Professor.

### **2.6.2 Performance Review**

Faculty members' performance shall be evaluated at three stages:

1. Annual Review
2. Pre-Tenure Review
3. Final Review for Indefinite Tenure

#### **1. Annual Review**

A faculty member on probationary appointment shall be reviewed annually by the department in which the appointment is held. The process should be initiated in the middle of March and must be completed by the end of April. The Chair of the department shall initiate this process. The faculty member and members of the departmental T & P Committee shall participate in the review. The faculty member must demonstrate that he/she should be allowed to continue toward tenure. If the faculty member fails to do this, then the T & P Committee shall recommend to the Dean one of the following:

- a) that the faculty member's contract be terminated by the end of June giving an appropriate notice
- b) that the faculty member be allowed more time; e.g. a decision will be taken in the next year of the service

In the event of a negative recommendation, the dean will make recommendation to the Senior Vice President of Academic Affairs (SVPAA) for further action. The SVPAA will consider the matter in the KIMEP T & P Committee, and make recommendation to the President of KIMEP.

If the recommendation is positive, then the matter does not need to be forwarded to the SVPAA.

### **Annual review criteria**

Each faculty member's performance will be evaluated annually according to the following criteria:

- Teaching
- Research
- Academic administrative work
- Committee work
- Contributions to KIMEP and to the society at large

In considering whether a faculty member shall be allowed to continue in probationary employment, account shall be taken of all materials submitted, the above criteria and the department's needs with respect to teaching and research.

### **Review Process**

#### **Preamble**

Teaching and Research are an integral part of faculty activities at KIMEP. Thus, the highest percentage of workload is allocated to these two categories of activities. At a teaching institution like KIMEP, teaching occupies a central part. Therefore, a fair assessment of the rigor of the faculty member's teaching, methods, and overall classroom facilitation is imperative (Part 1).

Research is important as a supplement to teaching. With no effort towards research, an instructor's mind will get stale. A fair assessment of an incumbent's research, first in refereed articles, and then papers, presentations, and overall knowledge in the field, can more likely demonstrate a sound and objective research agenda. Since some research requires time to come to fruition, the number of submitted publications per year should also be considered. This is reflected in Part 2.

Due to the unique nature of KIMEP, an English speaking institution of higher learning in Central Asia, faculty are called upon to serve in administrative capacities. As such their skills in this area should be assessed, though not with the same rigor as teaching and research. Conflict resolution, perception of University needs, integration with government regulations, and participation in active committees need to be assessed and encouraged for current and future success in these areas (Part 3).

In addition, while faculty are already called to the demands of teaching, research and administration, community involvement and actual interface with the community and local people in terms of service, grant procurement, or even recruitment needs also to be acknowledged (Part 4).

#### **How to initiate the annual review process:**

1. Each faculty member to fill the "Workload" form annually by the first week of April. This form is submitted to the Chair.
2. Based on the workload form and the performance of the faculty members, Chairs and Associate Chairs complete a form called "faculty annual performance evaluation form". This form is signed by the Chair with the appropriate recommendations as mentioned above. This job should be completed in a period of two weeks. In case of an adverse evaluation, the Chair discusses this with the concerned faculty member and asks for comments.
3. The Chair sends all evaluation forms to the Departmental T & P Committee. This committee discusses the evaluation and recommendations (members excuse themselves when their own cases are being discussed). In cases of adverse recommendation, this committee meets with the concerned faculty, discusses the evaluation and obtains the faculty member's input. Thereafter, recommendations are sent to the Dean.
4. In cases of adverse recommendations, the Dean puts the cases before the college T & P committee. This committee invites comments and inputs from the concerned faculty. Once a decision has been reached, the Dean sends the recommendations and evaluation forms to the SVPAA for further action. In cases where there is positive recommendation from the departmental T & P committee with which the Dean agrees, a Dean may bypass the college committee and bring

the cases before the SVPAA with his/her comments (the department's evaluation must be attached). This saves time. If the Dean does not agree, it must be brought before the college T & P committee.

5. The SVPAA discusses each case before the KIMEP Academic Affairs Committee, which makes recommendations to the President.
6. In case of an adverse decision by the KIMEP committee, a faculty member shall have the right to appeal to the President.

### 1. Teaching: 50 points

Student evaluation (20)

Course management (control and discipline in the class, organization and quality of lecture materials, teaching innovation, ethics and integrity, student complaints) (10)

Course design, weekly organization of topics and outlines (8)

Methods and quality of evaluating students including continuous assessment (8)

Teaching load (4)\*

\* This means a full teaching load according to this Faculty Code of Practice. However, additional credit either in the form of salary raise or renewal of contract will be given to those faculty members required to teach an overload or large groups of students without asking for additional compensation. The department T & P Committee will make the needed recommendation.

### 2. Research & Scholarly Activities: 30 points

	<b>Credit Range</b>	<b>Points awarded</b>
a) Journal Article	1-8	1-3 - national/ non-refereed international journals 3-6 - refereed journals of international repute 7-8 - top journals of international repute in the field
b) Authored Research Book, put out by internationally reputed publisher	6-15	For international publisher

c) Edited Research Book, put out by internationally reputed publisher	3-8	3-4 - textbook 4-8 - research book
d) Book Chapter in a book, put out by internationally reputed publisher	2-4	
e) Conference proceedings paper	1-3	For international conferences
f) Business Case Studies	2-8	2-4 - for KIMEP series/national publications 3-8 - for those published internationally
g) KIMEP working paper	1-2	Depends on quality and length
h) Funded Project or Consulting/ Research	2-3	Depends on quality and length
i) Newspaper article, editorial, or magazine article	0.5-1	0.5 - for local publisher 1.0 - for international publisher
j) Seminar Presentation in KIMEP	0.5-1	0.5 – if not based on original research 1.0 – if based on original research

The maximum number of points available is 30 points.

### 3. Administrative contributions and management participation: 15 points

Work on Program Manual, curriculum development, course development, and lecture materials	10 points
Committee Participation (if actively meeting)	8 points
Program Director	5 points
Crisis Management	3 points
Conflict Resolution Ability	2 points
Analysis of Issues (Perception)	2 points

The maximum number of points available is 15 points.

### 4. Extra-Curricular Activities: 5 points

Community Service, Student recruitment, fund raising, Contribution to student activities	5 points
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## Appraisal Targets

### 1. Lecturer Grade Faculty

#### a) Annual Review

Total score required for contract renewal or for continuing with the current employment contract	55 points or above
Total score required for contract renewal or for continuing with the employment contract with warning (probation)	45-54 points
Terminal score below which an employment contract will be discontinued or terminated	< 45 points

#### b) Promotion: (Lecturer to Senior Lecturer)

Total score required for promotion from Lecturer to Senior Lecturer	60 points or above Out of the 60 points at least 3 points must be in research
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### 2. Professorial Grade Faculty (Assistant to Full Professor)

6 points minimum in research is required annually. Because research is an ongoing process and final publication takes time, 6 points can be scored from completed publications or from work in progress.

#### a) Annual Review

Total score required for contract renewal or for continuing with the current employment contract	65 points or above Out of 65 points, at least 6 points must be in research
Total score required for contract renewal or for continuing with the current employment contract with warning (probation)	55-64 points

Terminal score below which an employment contract will be discontinued or terminated	< 55 points
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**b) Promotion from Assistant to Associate Professor**

Total score is required for promotion from Assistant to Associate Professor	70 points or above Out of 70 points at least 12 points must be in research, including at least two refereed publications (in journals and/or books)
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**c) Promotion from Associate to Full Professor**

Total score required for promotion from Associate to Full Professor	75 points or above Out of 75 points at least 15 points must be in research, including at least three refereed publications (in journals and/or in books)
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**Promotion consideration for all categories**

Evaluation for promotion will not be annually based, but cumulative. Criteria and procedures as stated in this Faculty Code of Practice shall be strictly followed.

Research is an ongoing process. Immediate results may not be visible before a considerable period of time has elapsed. Therefore, credit for research activity will be given for ongoing efforts during the multi-year period under consideration.

The value for each of the criteria other than research can be taken as an average of the points credited each year during this period.

**Part time, Visiting and Adjunct Faculty**

The conditions and criteria for appointments shall be similar to those of full time faculty. However, assessment will be based primarily on teaching and other contributions to the department/college (at the discretion of the T & P Committee). The cut-off points for renewal shall be the same.

**2. Pre-Tenure Review**

This review will be initiated by a faculty member not later than March of the third year of probationary employment at KIMEP. The faculty member must submit the necessary

tenure application and materials to the departmental T & P Committee not later than March 30<sup>th</sup>.

The review will appraise the tenure candidate's progress towards ultimately receiving tenure. This should be a rigorous process conducted by the T & P Committee.

### **Review criteria**

The committee will evaluate the candidate based on the following criteria:

#### **Teaching activities**

A good teaching portfolio which will include, among other things, teaching philosophy and goals, courses taught, student evaluations, etc.

#### **Research activities**

Full details of research activities compiled in a well written research portfolio which must include a list of publications (at least two in the last three years), authored book(s), book chapters, case studies, working papers, publications in progress, graduate thesis supervision, etc.

#### **Service activities**

A well written service portfolio detailing the candidate's service to the department, college, KIMEP and outside KIMEP.

#### **Commitment**

The faculty member's long-term commitment to KIMEP, as indicated in a short essay of his/her goals and visions while at KIMEP.

### **Documents to be submitted**

The Chair will ask the faculty member to provide to the committee the following material:

- a) A letter to the T & P Committee
- b) An updated curriculum vitae
- c) Previous annual reports
- d) Student evaluation summary reports
- e) Evidence of research and other scholarly work
- f) Summary and evidence of service
- g) Names of at least two referees who are familiar with faculty member's work at KIMEP or at institutions external to KIMEP

A report advising the tenure candidate on where his/her strengths and weaknesses lie will be prepared. In this report, the tenure candidate will be informed of what improvements must be made if the candidate is to proceed towards indefinite tenure consideration in the

fourth year. The report will be received by the Dean and the Senior Vice President of Academic Affairs (SVPAA).

The Dean will consider the report in the college level T & P Committee. The Dean shall recommend to the SVPAA one of the following:

- a) The candidate has made satisfactory progress and will be considered for indefinite tenure in the fourth year.
- b) The candidate has not made significant progress towards tenure fulfillment but should be allowed to continue, with a terminal letter of appointment issued for the fourth year.
- c) The candidate's appointment should be terminated by June giving appropriate notice.

In the event of (b) or (c), the SVPAA will raise the matter in the KIMEP T & P Committee for a final recommendation to the President of KIMEP. In the event of (a), the SVPAA does not need to refer the matter to the KIMEP T & P Committee.

### **3. Final Tenure Review**

Tenure will not be awarded by default. It is the responsibility of the tenure candidate to demonstrate conclusively why he/she should be given tenure at KIMEP. If the candidate fails to do so during the review, tenure will be denied and a terminal letter of appointment will be issued for the succeeding year.

The final review of the tenure candidate must take place no later than January of the fourth year of service at KIMEP. To initiate this process, the faculty member must again submit all necessary tenure application materials to the departmental T & P Committee.

#### **Review criteria**

The Final Review criteria should be quite rigorous, although flexible. They will include the following:

#### **A good teaching portfolio, which will include the following:**

1. A statement of teaching goals, methods and philosophy.
2. Teaching experience, with a list of courses taught at KIMEP and at other institutions.
3. Evidence of teaching-related activities

Course and instructional materials (examples of quality course manuals, outlines, projects, assignments, published textbooks or other instructor materials).

Teaching development (participation in conferences and seminars with a list of papers presented).

Teaching consultancies (for outside institutions and agencies, or requests for demonstrations of effective teaching methods).

Course, curriculum or departmental development (Teaching methods and contribution to the improvement of teaching in the department).

4. Assessment of teaching from peers
5. Student evaluation summary reports for the previous five semesters.
6. List of received teaching awards, scholarships, etc.

**A research portfolio that will include the following:**

1. The candidate's research areas and field of study
2. Local and international collaborations if any
3. A summary of research plans and methodology
4. Evidence of article published in journals of international repute for terminal degree holders in the last three years while at KIMEP

at least three publications for tenure with a promotion from Assistant to Associate Professor.

at least four additional publications for tenure with a promotion from Associate Professor to Professor.

5. List of previous publications (before joining KIMEP)
6. List of unpublished research works including case studies and working papers
7. List of research work in progress
8. Evidence of funded research/consultancy projects, if any
9. Evidence of conference participation and presentations
10. Evidence of graduate thesis supervision, if any
11. Copy of the Ph.D. or terminal degree dissertation
12. Awards by professional bodies for outstanding research, if any
13. Research leadership, as evidenced by team achievements
14. Any other clear evidence of exceptional contributions to human knowledge

**A well-written service portfolio which should include the following:**

**Two components:**

**Within KIMEP**

Participation in committees  
Participation in academic policy development at department, college or KIMEP levels  
Participation in course and curriculum development  
Participation in student advising  
Participation in academic administration, in posts such as coordinator, program director, Chair or Dean  
Demonstrated ability to encourage and foster a collegial environment  
Contributions to activities such as sports, drama, debate, etc.

### **Outside KIMEP**

Membership in professional organizations  
Participation in or contributions to public lectures, seminars and workshops  
Establishing educational alliances with other educational organizations  
Services to the governing bodies of other organizations  
Providing educational consultancy services to government and non-government organizations  
Demonstrated evidence of involvement in community affairs  
Demonstrated evidence of involvement with charitable organizations  
Others

## **2.7 Final Tenure Review Procedures and Recommendations**

### **2.7.1 T & P Committee at the departmental level**

The Chair will ask the candidate to provide to the committee the following documents:

A letter to the Committee justifying tenure consideration at this stage  
Curriculum Vitae that will include teaching, research and service portfolios  
Pre-Tenure Review reports  
Student evaluation summary reports in the last six semesters  
A bibliography of published articles  
List of refereed publications  
List of non-refereed publications  
Samples of the above  
A bibliography of published book(s) including reviews  
Evidence of any other scholarly activities  
All current course syllabi  
A five year plan for teaching, research and other professional development activities  
A statement of how the candidate supports the goals and mission of KIMEP

The Final Review will be conducted by the Departmental T & P Committee within one week of the submission of the application materials. None of the T & P Committee members may have a personal relationship with the faculty member being evaluated (spouse, sharing living quarters, godparent to the member's child, etc.) Normal professional relationships are inevitable. If any member has a distinct negative bias towards the tenure candidate, he or she should excuse him/herself from the discussions of the Committee.

The Committee will require a complete dossier of all tenure application materials. If the candidate fails to provide relevant information to the Committee, the tenure application shall be denied.

The Committee shall prepare a written report documenting the evaluation. The report together with the application materials will be delivered to the Dean of the College within one week of the review's completion.

### **2.7.2 T & P Committee at College level**

The Dean will meet with the candidate and the departmental T & P Committee members to ensure that the proper procedure, standards and criteria have been followed. If satisfied, the Dean will forward the case to the College T & P Committee within 72 hours. This committee will ensure that standards and criteria for tenure have been maintained and that the department has given adequate opportunity to the candidate to present his/her case. After evaluating the candidate's eligibility as per the criteria set forth, the Committee will prepare a written report and submit it to the Dean. The Dean in consultation with the T & P Committee members will reassess the merit of the applicant's application for tenure. If satisfied that a fair evaluation has been conducted, the Dean will forward the report together with the committee's recommendation to the Senior Vice President of Academic Affairs. The recommendation can be one of the following:

1. Tenure is granted with or without promotion to the next rank
2. Tenure is denied and the candidate be given a terminal letter of appointment
3. Tenure is denied but the candidate be given another probationary contract, with the opportunity to reapply for tenure at a later time

### **2.7.3 KIMEP T & P Committee**

The KIMEP T & P Committee will ensure that standards and criteria for tenure have been applied in the evaluation, that the application has all the relevant required documents with proper evidence, that the candidate has been given a fair chance to present his/her case and that the quality and integrity of the system has been maintained. This committee

will review the recommendations of the College T & P Committee. In doing so, the Committee may meet with the candidate, the Chair and the Dean. The Committee may, if need be, ask for additional documents and clarifications.

This Committee shall:

1. Make recommendation to the Senior Vice President of Academic Affairs (SVPAA)
2. Submit all relevant material to the SVPAA

#### **2.7.4 Responsibilities of the SVPAA**

The SVPAA ensures that the Tenure & Promotion Committees have followed the proper evaluation criteria and procedures required by the Institute, and that the candidate has been given a fair chance to present his/her case. The SVPAA's job is not to reassess the merits of an applicant's tenure application.

If satisfied with the procedures, criteria and standards maintained, the SVPAA will submit all relevant materials and T & P Committee recommendations to the President.

If not satisfied that the adequate procedure has been followed, the SVPAA may send the matter back for reconsideration by the KIMEP T & P Committee. If the SVPAA receives recommendations contrary to those of the College T & P Committee, the SVPAA shall meet with the faculty member, the dean and the KIMEP T & P Committee members to see if the differences of opinion can be reconciled. In any event, the recommendations of the T & P Committees at all levels shall be forwarded to the President.

The SVPAA will convey the decision of the President in writing to the Dean and the Chair of the KIMEP T & P Committee.

#### **2.7.5 Responsibilities of the President**

The President will consider the case in the light of recommendations received from all three levels. The President may consult with the Dean and the SVPAA on individual cases, and makes the final decision regarding the granting or denial of tenure.

If the President is not satisfied with any of the recommendations, the President will send the case to the SVPAA for further reconsideration. At this stage, the SVPAA will confer with the Dean to address the points raised by the President before putting the matter before the KIMEP T & P Committee once again. The Committee will consider the President's views and concerns and send a written report to the SVPAA. The SVPAA shall forward the report to the President for reconsideration. At this stage, the decision of the President shall be final.

The President shall sign a letter to the candidate conveying the decision. The President shall inform the SVPAA of his/her decision. Such a letter can also be issued by the SVPAA with the approval of the president.

## **2.8 Appeals of Adverse Tenure Decisions**

The decision of the President will be communicated to the candidate in writing. In case of an adverse decision, the faculty member shall have the right to launch an appeal to the President within 30 days of receipt of the notification. Within one week of receiving the appeal letter, the President may appoint an appeal committee involving senior faculty members from all colleges. These members must not be members of the original T & P Committees. This committee will meet within one week of the President's notification. The committee will be entitled to examine all recommendations including the decision of the President, and all documents submitted to T & P Committees by the concerned faculty member. In addition, the committee may ask the faculty member, Chair, Dean and SVPAA to present their cases before the committee.

The appeal committee shall make its recommendation to the President directly. The President shall review the recommendation, and may consult with the SVPAA and members of the Executive Committee before taking a decision. At this stage, the decision of the President shall be considered as final and binding on all parties.

## **2.9 Post-Tenure Review**

KIMEP provides for post-tenure review of its faculty to encourage, reward and support the continuous development of tenured members of the faculty. Through the process of peer review, KIMEP can once again identify faculty members who merit special recognition or need special assistance. Two levels of regular, developmental review are required of all tenured faculty.

1. A substantive review three years after the award of tenure. Other reviews, such as those undertaken for regular salary or merit pay adjustments, may contribute to the third-year review, but may not substitute for it.
2. A major review in the sixth year after being promoted or receiving tenure.

### **2.9.1 Procedures**

#### **a) The third-year substantive review**

Each individual faculty member and the appropriate Dean, department Chair and program head shall conduct this review jointly. The faculty member shall submit by a

specified date in the review year a current curriculum vitae including a bibliography of research, and a summary statement of activities and accomplishments in the areas of research, teaching and service covering the previous three years.

The Chair then prepares a brief statement evaluating the performance of the faculty member. This statement shall be given to the faculty member and signed by the faculty member to indicate that he or she has read it. The faculty member may submit a written response to the statement within thirty days. A copy of the statement and any response by the faculty member shall be filed in the faculty member's personnel file no later than June 15th of the review year.

**b) The sixth-year major review**

This major review should occur during the sixth year following the last promotion in rank or receipt of tenure. The review should occur during the winter and spring terms. The faculty member to be reviewed will be notified of the time of review by the appropriate Dean, department Chair, or program head no later than fall of the review year. The Dean, Chair of the department and program head shall conduct this review jointly.

The department Chair reviews all relevant information and prepares a summary sixth year major report. This report shall be given to the faculty member and signed by the faculty member to indicate that he or she has read it. The faculty member may submit a written response to these reports within thirty days. A copy of the report and any response by the faculty member shall be filed in the faculty member's personnel file and a copy sent to the Dean no later than June 15th of the review year.

**c) Criteria used in post-tenure review include:**

1. Maintenance of a high quality of teaching.
2. Continuing professional growth, scholarly activities, creative and artistic achievement.
3. Exercise of leadership in academic and administrative service.
4. Service and activities on behalf of the larger community.
5. Additional criteria as may be established by individual departments.

**The review committee shall ask the tenured faculty member to provide it with the following documents:**

1. A statement of scholarly, scientific, professional or artistic accomplishments;
2. A statement of future goals and plans;
3. Curriculum vitae with research bibliography;
4. Accumulated annual faculty evaluation reports;

5. The faculty member's responses, if any.

**The following additional information may be requested:**

1. A statement from the department head, Dean or SVPAA summarizing the past duties and responsibilities of the faculty member, including pertinent information concerning the conditions of appointment;
2. Student evaluations and other materials relating to the quality of teaching or administration;
3. In appropriate instances, letters of evaluation from individuals both within and outside of KIMEP, with particular attention to evaluations by persons specially qualified to judge the contributions of the faculty member over the period of review;
4. Supporting documents such as copies of publications, manuscripts, or reviews of performance;
5. Other evaluation statements.

### **2.9.2 Use of Post Tenure Review**

KIMEP will use the post tenure review reports for three main purposes:

- Recognition of excellence
- Termination or suspension of tenure
- Demotion in rank

An unusually strong evaluation should result in an appropriate recommendation for a salary increase, which can be awarded when merit-based salary increases are made. Other faculty rewards should be considered by the post tenure review committee for recommendation to the Dean or department Chair. For example, excellent faculty members may be given a sabbatical semester (if the core faculty is of sufficient size); superb faculty may receive a teaching award, which may or may not have a merit bonus attached to it; and so on.

Failure to maintain the quality of teaching, research and other services as expected of tenured faculty members may result in either termination of tenure, suspension of tenure or demotion in rank.

### **2.10 Termination of a Tenured Appointment**

A tenured appointment may be terminated or suspended under extreme circumstances involving one or more of the following causes:

- For reasons of visa or work permit denial by the Government of the Republic of Kazakhstan.
- For reasons of financial exigency involving great risk to the continued existence of the Institute.

Because of the discontinuation of department or academic program to which the faculty member belongs for reasons other than financial exigency.

In cases involving proven mental or physical incapacity.

In cases involving proven professional misconduct, incompetence or neglect of duty.

In cases involving personal misconduct including sexual harassment of such a nature as to indicate that the individual is unfit to serve as a member of the faculty.

KIMEP recognizes that any such action is of an extreme character, and it will resort thereto only in cases of demonstrated evidence and need after consultation at departmental, college and executive levels. In each case, adequate reasons shall be given to the faculty member in writing. A faculty member shall be entitled to file an appeal against termination of an appointment for any reason other than visa/work permit denial by the Government of Kazakhstan.

#### **2.10.1 Financial exigency**

Financial exigency is defined as a significant decline in the financial resources of the Institute brought about by a decline in student enrolment, or by other actions or events that compel a reduction in the institution's current operating budget. Such determinations shall be made by the President after consultation with the Board of Trustees or the KIMEP Council.

#### **Discontinuation of a department or academic program**

This shall be determined by the President after appropriate consultations with the SVPAA, the relevant Dean and other KIMEP committees, and with the approval of the KIMEP Council.

#### **2.10.3 Mental or physical incapacity**

In cases involving mental or physical incapacity, any decision to terminate a tenure appointment shall be based on clear and convincing medical evidence submitted to the Senior Vice President of Academic Affairs. The SVPAA will forward the matter to the President. If the faculty member concerned raises objection, the President will appoint a grievance committee, which will review the case and may request a professional medical assessment. This committee will make final recommendation to the President.

#### **2.10.4 Professional and Personal Misconduct including sexual harassment**

##### **A Definition of Professional and Personal Misconduct**

Charges of professional and personal misconduct can be brought primarily by a department, college, students and management staff.

Some examples of Professional misconduct are:

1. Failure to abide with the contractual obligations such as teaching, grading, advising, proctoring, maintaining office hours, performing committee work, etc.
2. Academic dishonesty related to course assessment, falsifying records, plagiarism or any other form of inappropriate behavior
3. Failure to abide by the academic policies of the department, college and KIMEP
4. Insubordination (for example, any refusal to comply with instructions or to carry out work assignments) or lack of cooperation, whether in language or conduct
5. Falsification of academic, research or professional credentials
6. The sale of grades, exams or other academic materials
7. Other issues associated with professional conduct as stated in the legislation of Kazakhstan, the Faculty Code of Practice or the KIMEP Catalogue.

Some examples of Personal Misconduct are:

Fighting or threatening violence in the workplace

Vandalism, misuse or stealing of KIMEP property

Sexual harassment

Offensive behavior (e.g. spitting, shouting, discourteous conduct, ethnic, religious or racial slurs)

Impairment or the use of alcohol or drugs on campus

Distribution of confidential, slanderous or libelous information that tarnishes the image of the institution and disturbs peace and harmony within the KIMEP community

Other unethical or personal behavior as stated in the legislation of Kazakhstan, the Faculty Code of Practice or the KIMEP Catalogue.

#### **2.10.4.1 The Disciplinary Procedures for professional and personal misconduct**

It is KIMEP policy to take all steps necessary to avoid disciplinary action. Given the complexity of our university, however, the need for such actions occasionally do arise. KIMEP recognizes that such charges can be of extreme character and should be resolved through properly constituted committees which will have adequate faculty representations.

The committees which will be entrusted to investigate these matters are:

The Collefe Faculty Disciplinary Committee (CFDC)

The KIMEP Faculty Disciplinary Committee (KFDC)

#### **The College Faculty Disciplinary Committee (CFDC)**

This committee is a reconstitution of the College Disciplinary Committee. The members of this committee shall be the Dean of the College, one elected faculty representative (non-chair) from each department, and one position of rotating department chair. The rotating department chair position will change each semester. If a member of this committee is involved in the disciplinary action as either the initiator or alleged violator, then he/she will be replaced by an alternative representative. This committee will also serve as the College Disciplinary Committee for students though the Dean may assign his/her role to the Associate Dean.

### **KIMEP Faculty Disciplinary Committee (KFDC)**

This committee serves as the appeals committee. The composition of this committee includes one elected representative from each college, the Provost Marshal, the VP of External Affairs, the Associate VP of Academic Affairs and a representative of the legal department to serve as advisor to the committee. The former are necessary to ensure faculty representation into the decision making process regarding faculty disciplinary issues. The latter are necessary to ensure that the administration is represented in an action. This conforms to Kazakhstani legislation and the practice at several western universities that have a balance of 50% chosen from the employees (in this case faculty) and 50% of the representatives to be selected by the employer (in this case the President). The chair is elected from this group at the beginning of the Academic Year as prescribed by Kazakhstani legislation. This committee also serves as the KIMEP Disciplinary Committee for student appeals and student personal misconduct.

### **Procedures for a Disciplinary Action**

Disciplinary actions against a faculty member involving misconduct, incompetence or neglect of duties can be initiated by any member of the KIMEP community in a written statement to the line supervisor (chair of a department or dean if in the case of a chair). There are three exceptions to this procedure. First, given the seriousness of sexual harassment allegations, these are immediately reported to the Provost Marshal. The procedures for such cases are outlined in the section pertaining to sexual harassment in the Faculty Code of Practice. Second, if the situation requires an immediate suspension, the matter follows the procedures outlined under “Immediate Suspension.” Third, if an Executive Committee member is allegedly involved in a disciplinary situation, the procedures follow that outlined under “Senior Administrative Personnel.”

The first stage of a disciplinary action is a verbal discussion between the line supervisor and the faculty member. If the verbal discussion is satisfactory, no further action should be necessary other than a letter to the CFDC chair indicating the results of the meeting. If the verbal discussion is unsatisfactory, the line supervisor refers the matter in writing to the CFDC within three working days of the verbal discussion. The CFDC will discuss the issue and may pursue one of several options. First, they may determine that further action is not necessary or decide that the matter warrants a cautionary letter. Second, they may issue a written request for a written explanatory statement from the faculty member regarding the issue. Faculty members are given a set time limit (two (2)

working days is normal) to respond to a request for an Explanatory Letter. In the letter, the CFDC must specifically state the nature of the problems in terms of his/her professional obligations (duties and responsibilities).

If the written explanation to the CFDC is satisfactory, the matter is dropped. If the written response to the CFDC is not satisfactory, the CFDC may take one of several steps. First, the CFDC may issue a cautionary letter suggesting corrective steps, and indicating that if the faculty member does not follow the corrective steps, then the matter may result in formal disciplinary action. Second, the CFDC may issue a disciplinary letter. This includes the necessary Prikaz placed into the faculty members file. Third, the CFDC may recommend termination of the faculty member (See Termination Procedures). It is the right of the faculty member under investigation to personally appear before the CFDC before a decision is rendered.

### **The Appeals Process**

The faculty member implicated in a disciplinary action may appeal to the KIMEP Faculty Disciplinary Committee (KFDC). The appeal must be in writing and occur within one week of the conclusion of the CFDC action. At the discretion of the KFDC, this appeal period may be extended. The KFDC will initiate a review of the case within three working days and has several options. First, the KFDC may uphold the decision of the CFDC. Second, the KFDC may change the outcome of the CFDC either raising or lowering the level of disciplinary action. It is the right of the faculty member under investigation to personally appear before the KFDC before a decision is rendered. All decisions of this committee are final except in cases of termination discussed under Termination Procedures.

### **Termination Procedures**

Termination of a faculty member is considered a significant issue that affects the integrity of the institution and the career of the faculty member. As such, these matters require careful consideration. The procedures for termination are to maximize the consideration of such a serious disciplinary step. For any misconduct, the role of the CFDC is to recommend termination of a faculty member to the Senior Vice President of Academic Affairs. For personal misconduct, the SVPAA will refer the matter to the Provost Marshal with his recommendations. After review, the Senior Vice President of Academic Affairs in professional misconduct and the Provost Marshal in personal misconduct may decide what steps are appropriate concerning the possible termination of a faculty member. The SVPAA/Provost Marshal may form an ad hoc committee to investigate the issue or may uphold the decision of the CFDC. Any action taken by the

SVPA/Provost Marshal must be in writing to the faculty member. All written communications must be done by the SVPA.

A faculty member may appeal a decision to terminate within one week of receiving such a notice to the President of the Institution. The President may overturn the decision for termination or he may refer the matter to the KFDC who will review the termination appeal and make a final decision on termination. In all cases of termination, the Legal Department must review the termination letter issued to the employee.

### **Immediate Suspension**

It is recognized that an emergency situation may require immediate action in some cases of gross misconduct. If a member of the KIMEP community has evidence that such action is necessary in the case of a faculty member, they should immediately report this event to the Senior Vice President of Academic Affairs. The Senior Vice President of Academic Affairs will convene a meeting of the President, Legal Department, the Provost Marshal and other parties deemed relevant to determine if an emergency situation is warranted. If this committee declares an emergency situation, the person involved will be immediately suspended with pay and the matter will be referred to the normal channels of the disciplinary procedure outlined for termination.

### **Senior Administrative Personnel**

If a Senior Administrative Personnel (members of the Executive Committee) has been accused of personal or professional misconduct, this matter is referred to President of the Institution. The President shall form an ad hoc committee consisting of Senior academic and management staff to investigate the issue. The ad hoc committee submits a written recommendation to the President. The President may accept the recommendation of the ad hoc committee or overturn the recommendation. In either case, the President shall inform the senior administrative personnel in writing of the outcome. The senior administrative personnel may appeal this decision in writing to the President who shall refer the matter to the KIMEP Executive Committee that serves as the appeal committee. The decision of the KIMEP Executive Committee is final.

### **Conditions of the Disciplinary Process**

1. The committee may initiate one of four (4) formal disciplinary actions
  - a. Warning Letter
  - b. Reprimand Letter
  - c. Severe Reprimand Letter
  - d. Termination of Employment
2. Disciplinary measures cannot take place more than one month from when the supervisor became aware of unsatisfactory work performance or improper personal/professional conduct or after six (6) months if not discovered.

3. A disciplinary letter must specifically mention or refer to previous correspondence (warnings or reprimands), if applicable.
4. A second letter called an Internal Order of the Employer (Prikaz) must be issued by the Human Resources Department to the employee stating that a disciplinary action has been taken. Human Resources / Personnel Department will do this automatically upon receiving a copy of the disciplinary action letter. The employee will be asked to sign the Prikaz so there will be evidence that the employee was aware of the action(s) taken. If the employee refuses to sign, then a letter stating the employee refused to sign is issued and signed by the appropriate person(s).
5. In the disciplinary letter to the employee, it is suggested that language similar to the following be used:

“The undersigned committee has met and agreed, by majority vote, to recommend a warning/reprimand/severe reprimand/ or termination of employment. Furthermore, the employee is to review the warning/ reprimand / severe reprimand or termination letter and return a signed copy”.

6. Conditions for termination:
  - a. One violation termination can occur in the following circumstances:
    - a-1) The conditions for a single gross violation termination are as follows:
      1. Fails to attend scheduled activities without obtaining permission
      2. Being impaired or consuming alcohol at work during office hours
      3. Violation of fire safety rules that may result in serious injury to others
      4. Stealing, if proven in court;
    - a-2) Commitment of guilty actions by Employee, directly working with money or commodity values, if these actions give the bases for loss of trust to him by Employer;
    - a-3) Commitment by Employee, who is carrying out educational functions, unethical behavior incompatible with the work continuation;
    - a-4) Disclosure of information which constitutes state, service, commercial and other secret and that became known to the Employee due to fulfillment of his labor duties.
  - b. Two disciplinary letters within six (6) months termination.
7. A disciplinary letter is valid for a period of six (6) months. If during that time the employee is not subject to a new disciplinary action then he/she shall be deemed not to have a disciplinary action that counts toward the two disciplinary letters within six (6) months as a condition for termination.



## Normal Disciplinary Procedures



#### **2.10.4.2 Disciplinary procedures for sexual harassment**

It is the policy of KIMEP to provide a safe and positive learning environment for all faculty, staff and students. To ensure such an environment, KIMEP will not tolerate acts of sexual harassment or retaliation for filing a charge of sexual harassment against or by any employee or student. The following provides a definition of sexual harassment, any potential retaliation, and the procedures to be followed in cases related to sexual harassment. The making of a false or malicious accusation of sexual harassment against a KIMEP faculty member, staff member or student constitutes personal misconduct. Any KIMEP community member who makes a false accusation is liable to disciplinary action under KIMEP's Disciplinary Procedures.

There are many definitions of sexual harassment. Sexual harassment consists of interaction between individuals of the same or opposite sex that is characterized by unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature under the following conditions:

- submission to such conduct is made either explicitly or implicitly as a term or condition of an individual's employment, living conditions and/or educational evaluation;

- submission to or rejection of such conduct by an individual is used as the basis for employment or educational decisions affecting such individual; or

- the conduct has the purpose or effect of unreasonably interfering with an individual's work or academic performance or creating an intimidating, hostile, or offensive working or educational environment.

A hostile environment concerning sexual harassment is defined as unwelcomed sexual conduct that is sufficiently severe or pervasive that it alters the conditions of education or employment and creates an environment that a reasonable person would find intimidating, hostile or offensive. The determination of whether an environment is "hostile" must be based on the circumstances and conditions in which the act has taken place. These circumstances could include the frequency of the conduct, its severity, and whether it is threatening or humiliating.

Examples which may indicate a violation include but are not exclusive to a faculty member who suggests that a higher grade will be given to a student if the student submits to sexual advances, a supervisor implicitly or explicitly threatens termination if a subordinate refuses the supervisor's sexual advances, a student repeatedly follows an instructor around campus and sends sexually explicit messages to the instructor's voicemail or email, demands for sexual favors, accompanied by implied or overt threats concerning one's job or letter of recommendation, subtle pressure for sexual activity, unwelcome physical contact, sexual comments and innuendos, visual displays of degrading sexual images, and physical assault and rape. These are only examples whereas the actual definition of sexual harassment may include a variety of other interactions.

It is a violation of KIMEP policy to engage in retaliatory acts against any employee or student who reports an incident of alleged sexual harassment, or any employee or student who testifies, assist or participates in a proceeding, investigation or hearing related to such allegation of sexual harassment.

Students and employees who believe they have been retaliated against because of testifying, assisting or participating in a proceeding, investigation, or hearing relating to an allegation of sexual harassment, should meet with and seek the advice of the Provost Marshal, whose responsibilities include handling retaliation as well as sexual harassment allegations.

**Procedures:**

In order to take appropriate corrective action, KIMEP must be aware of sexual harassment or related retaliation. Anyone who believes that he/she has experienced or witnessed sexual harassment or related retaliation should promptly report such behavior to the Provost Marshal in writing. After consultation with the Senior Vice President of Academic Affairs and approval of the President of KIMEP, an immediate investigation will be initiated under the supervision of the Provost Marshal. He/she will assemble a Sexual Harassment Committee to thoroughly investigate such activities. This committee will be formed from the faculty and administration of KIMEP in consultation with the President and Senior Vice President of Academic Affairs. This committee will submit written recommendations to the Senior Vice President of Academic Affairs. The Senior Vice President may uphold the decision of the Sexual Harassment Committee which in the event he/she will execute the recommendations of the committee. If this involves a formal disciplinary letter or termination, the faculty member shall have the right to launch a written appeal to the President. The Senior Vice President of Academic Affairs also has the right to return the recommendations to the Sexual Harassment Committee to request additional explanation or recommend further investigation.

If a written appeal is received, the President will refer the case to the KIMEP Faculty Disciplinary Committee (KFDC). The KFDC will investigate and make the final determination on this matter. A written report will be issued to the President who may instruct the Senior Vice President of Academic Affairs to execute the recommendations of the KFDC. The President also has the right to return the report to the committee to request additional explanation or recommend further investigation.

All reports or cases of sexual harassment will be investigated and resolved as quickly as possible to guarantee the protection of all parties. The initial investigation by the ad hoc committee will begin with a written incident report by the complainant who advances the charge of sexual harassment. This will be followed by a request for an explanatory letter from the respondent to the ad hoc committee who allegedly committed the sexual harassment act. Within one week of the reported incident, both parties shall be interviewed by the ad hoc committee as part of a formal hearing on the case. All parties involved in the case will be allowed to present witnesses, documents and other relevant materials. Given the sensitivity of the issue, the parties involved in this case will meet separately with the committee.

If an investigation is conducted, the complainant and the respondent shall have the right to:

Receive written notice of the complaint, including a statement of the allegations, at the beginning of the investigation and to the extent permitted by law;

Present all relevant information (witnesses, documents, other materials) to the KFDC;

Receive, at the conclusion of the investigation, a copy of the KFDC report, to the extent permitted by law; and,

Resort to the Kazakhstan legal system for a remedy.

All records of sexual harassment reports and investigations shall be considered confidential and shall not be disclosed publicly except to the extent required by law. The Provost Marshal shall distribute an annual report documenting the number of reports or complaints of violations and examples of sanctions imposed for violations of the sexual harassment policy.

## **2.11 Termination of Non-Tenured or Tenure Track Contracts**

It must be clear to both Employees and Employer that conditions of employment, resignation and termination must take into consideration student interests, instructional continuity and integrity first. Because KIMEP follows a tri-semester system (fall, spring and summer teaching terms), the normal notice period for resignation or termination, whether initiated by an Employee or by the Employer, should not be less than three months before the end of an academic semester (fall or spring).

### **2.11.1 Termination on the initiative of KIMEP**

- a) A faculty member's contract can be terminated giving him/her at least three months' advance written notice before the start of the next academic semester (e.g., notice should be given by October 10 for the spring semester or by May 15 for the fall semester). Normally no reasons are necessary when giving such notice. However, KIMEP will do its best to serve notice in case of less than satisfactory performance by a faculty member, or in case a faculty member refuses to continue work due to the changing work conditions or in case of staff reduction.
- b) A faculty member's contract can be terminated giving him/her a one month advance written notice at any time during academic year under one or more of the following conditions and circumstances:

In the event KIMEP ceases its activities;

If the faculty member proves to be unsuitable for the position due to insufficient qualifications, or due to his/her state of health which does not permit him/her to carry out the responsibilities of the position;

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)

Other conditions as may be stated in the Law of the Republic of Kazakhstan “Concerning Labor in the Republic of Kazakhstan”

In such cases the provisions of clause (a) do not apply.

- c) KIMEP shall have the right to immediately terminate the faculty member’s contract under one or more of the following conditions:

Repeated violations of employment obligations by a faculty member who has already received a disciplinary penalty;

A single proven gross violation of employment responsibilities, such as theft, violation of safety regulations which puts others at risk of injury, or consumption of alcohol during working hours;

Furnishing false credentials such as transcripts, diplomas, letters of recommendation, or verifications of previous employment;

Embezzlement of KIMEP funds or diversion of KIMEP property to private use, resulting in a loss of trust in the faculty member by KIMEP;

Unethical behavior of such a nature as to indicate that the individual is unfit to serve as a member of the faculty, such as the forms of professional and personal misconduct identified in section 2.10.4.

Disclosure of confidential or protected information without authorization.

### **2.11.2 Termination on the initiative of the faculty member**

- a) An employment contract can be terminated by the faculty member by giving a three-month advance written notice before the start of the next academic semester (e.g., notice should be given by October 10 for the Spring semester or by May 15 for the Fall semester). No reasons are necessary when giving such notice.
- b) An employment contract can be terminated by the faculty member giving a one month advance written notice prior to the end of an academic semester (e.g., the end of December for the Fall semester or the end of June for the Spring semester) under one or more of the following conditions:

Where the faculty member has personal compelling reasons acceptable to KIMEP and upon mutual agreement

When the faculty member’s physical state of health, as attested by a licensed medical practitioner and verified by KIMEP’s Medical Doctor(s), precludes

his/her efficient performance or is such that continued employment is hazardous to his/her well being. In such cases, the normal one-month notice period may be waived.

### **Final clearance**

Final clearance, including payment of salary and compensation for unused vacation, shall be paid on the last day before termination of the contract upon receiving a filled in “final clearance form” and completion of all other procedures relating to the termination. In case the faculty member has an outstanding debt to KIMEP, the respective amount shall be deducted from his/her final payment.

### **Violations and penalties**

In case of violation of the conditions of termination stated in this section, KIMEP may take appropriate legal action against the faculty member. In particular, if a faculty member resigns in the middle of a semester and puts his/her students and KIMEP at risk, or if the faculty member attempts to leave KIMEP without handing over students’ grades, KIMEP reserves the right to take appropriate legal action.

### **2.11.3. Force Majeure**

In cases of Force Majeure, of mental or physical disability of the faculty member, or if KIMEP ceases its activities on the territory of the Republic of Kazakhstan, the parties shall refrain from any and all claims.

## **SECTION III: Workload of the Faculty**

### **Preamble:**

Normal working hours at KIMEP are eight hours per day (9 a.m. to 6 p.m.), Monday to Friday, or 40 hours per week. One hour is designated for lunch. However, this strict time frame cannot be applied to the teaching faculty. It is recognized universally that in the teaching profession, classes and research activities can be conducted in the evening and weekends and that faculty can work in their offices at any time they wish. Thus, a weekly workload cannot be broken into precise hours. However, a faculty member is required to maintain working hours and post those on his/her office door as follows:

- Teaching schedule
- Office hours
- Advising hours
- Research hours (when a faculty member does not want to be disturbed)

In general, the workload of a faculty member comprises of the following six major components:

- Teaching
- Research
- Committee work and academic administration
- Student advising
- Course and curriculum development
- Consultancy work

Teaching and research should be the central activities of a faculty member. Thus, a higher proportion of a faculty member's workload must be allocated to these two activities. Research activities are guided by the principles established in the "Research Policy" and "Research Action Plan".

### **3.1 Teaching Load, Overtime and Incentive Policy**

#### **3.1.1 Teaching Load for full time faculty members**

The teaching load includes actual teaching in the classroom as well as class preparation and grading, and should form the core of each faculty member's workload. In general, 12 hours of actual teaching per week in the classroom is required of each faculty member. This must involve teaching of two to three different courses with one or more additional sections.

For those faculty who are involved in research, a teaching load of 9 hrs/week involving two different courses with an additional section can be allowed. Each department (Chair) must monitor and account for such a teaching load reduction (see section 3.4)

For those involved in studying at higher degree programs (e.g. DBA, Ph.D., M.Phil., etc.) at KIMEP, the teaching load can be reduced to six hours a week involving a minimum of two different courses. This reduction is to be viewed as KIMEP's contribution to faculty development.

Time spent for preparation and grading is implied in teaching, and it varies considerably between teachers and courses. These time commitments cannot be monitored in any meaningful terms.

There may be circumstances in which a lighter or heavier teaching load is necessary for an individual instructor. In such a situation, the Chair of a department will work with the concerned instructor and the Dean of the college to ensure a fair and mutually agreeable schedule.

### **3.1.2 Teaching load for part time and adjunct faculty members**

The maximum number of courses a part time/adjunct faculty can teach in a semester is two courses. e.g. 6 hours/week. Exception to this can be made by the SVPAA on the recommendation of an academic Dean. In addition, part time/adjunct faculty members must maintain appropriate office hours as approved by the department or Chair.

### **3.1.3 Teaching load for a visiting faculty or a faculty member on special appointment**

These faculty members are required to take a full teaching load (e.g. 12 hours/week). Exception can be made for senior visiting professors who will be involved in research, mentoring, program, curriculum and course development, etc. Such exceptions must be carefully considered by the department and require approval by the academic Dean.

### **3.1.4 Overtime policy**

In order to maintain the quality and integrity of teaching, KIMEP does not encourage its faculty members to engage in overtime teaching. However, if and when such needs arise, the department and the college Dean must consider the matter carefully, and forward their recommendations to the SVPAA for further consideration. The SVPAA after discussions with the President and the Dean may recommend one of the following options:

- a) to pay the faculty overtime, following the compensation matrix in force
- b) to lower or to average the faculty member's teaching load over the subsequent two semesters.

### **3.1.5 Incentive Policy**

Faculty members who are actively involved in academic administrative, developmental, course coordinator and committee work shall be considered for one or more incentives as follows:

- Additional annual salary increase
- Promotion
- Letters of appreciation and recognition

Such contributions must be documented in the annual workload form, be part of the annual performance evaluation and be confirmed by the department

### **3.1.6 Teaching and Research Award Policy**

KIMEP encourages its faculty members to excel in teaching and research. While quality teaching helps achieve the trust of our students and the public and is central to our all activities, research is equally important in the sense that it keeps our faculty in the forefront of knowledge. KIMEP strongly believes that besides giving material compensation to the best faculty members, it is also very important to have a public recognition granted to such individuals. KIMEP has, therefore, introduced best teaching and research awards with the following objectives:

- to encourage quality teaching and research
- to emphasize the importance of teaching, learning and scholarship
- to increase work satisfaction
- to encourage greater involvement of students in educational matters
- to impress upon students and the community at large that KIMEP takes quality teaching and research seriously

#### **The following awards are given:**

- One faculty member from each College is nominated by students as the best teacher
- One faculty member from each College is nominated by the College Research and Development Committee as the best research faculty. The recommendations are forwarded to the KIMEP Research and Doctoral Committee for final confirmation
- One faculty member from each College is nominated for the best service and development activities (to be nominated by the college council)
- One faculty member of the Language Center is nominated by the students for the best English teacher award

Each awardee receives a citation and certificate from the President and the Senior Vice President of Academic Affairs, which is presented at the annual graduation ceremony.

### **3.2 Teaching load for Deans, Chairs, Program Directors**

**Deans:** 3 to 6 hours per week (one course or one course with an additional section)

**Associate Deans:** 6 hours per week (two different courses)

**Chairs:** 6 hours per week (two different courses)

**Associate Chairs:** 9 hours per week (two courses with an additional section)

**Program Directors:** 9 hours per week (two courses with an additional section)

**Course coordinators:** normal teaching load of 12 hours per week. However, efforts should be made not to engage them in other administrative or committee activities. Course coordination work should be noted in the annual evaluation and an additional salary increase may be recommended.

### **3.3 Cross-Teaching**

A cross-teaching assignment reflects the active involvement of a faculty member in teaching and research in more than one department. Cross-teaching assignments or appointments are usually made to maximize the use of human resources to the best benefit of KIMEP. A faculty member can be asked to teach courses in his/her field of specialization offered by another department. Such assignments must be viewed as a part of a faculty member's obligations to KIMEP within the 40 hours per week workload frame, and do not attract extra financial compensation.

For such assignments, the following procedures are used:

A formal request from the Chair of the requesting (secondary) department must be made to the Chair of the principal department

The Chair of the principal department will discuss and obtain approval of the concerned Dean

The offices of Academic Affairs and Human Resources will be notified by the Chair of the principal department in writing.

### **3.4 Research**

Research activities, both theoretical and applied, are an integral part of all academic activities at KIMEP. Research keeps faculty in the forefront of the knowledge, which is

vital for the academic and professional development of an academic institution. Research is required of all teaching faculty for tenure, promotion and contract renewals. Exceptions can be made for appointment or promotion to Senior Lecturer (see section 1.1B) General guidelines for conducting research and consultancy work have been established in the KIMEP documents “Research Policy” and “Research Action Plan”. The “Research Policy” which was approved by the Board of Trustees in April 2003, and the “Research Action Plan” which was approved by the Chair of the KIMEP Executive Committee, shall be considered as integral parts of the Faculty Code of Practice.

Research can be conducted on an individual or team basis, and may be initiated in collaboration with local or international organizations. Research can also be carried out on a contractual basis involving private business or industry, or other academic and non-academic institutions. Evidence of research is demonstrated through publications, working papers and conference presentations. Publications and other form of research activities will be considered for contract renewals, tenure and promotion. Details are given in the following sections.

### **3.4.1 Teaching Load Reduction for Unfunded Academic Research**

Faculty members may get up to 3 hours teaching load reduction per semester for non-funded academic research work.

The faculty member requesting such a load reduction should submit a research proposal consisting of a few pages, showing that they have done some preliminary thinking, literature survey and have a well-defined problem, and certify that the research is not funded by any external source. Minor funding of research expenses (data, half time research assistants, etc, up to a few hundred dollars) may be provided by KIMEP subject to availability of funds. The application will be evaluated by the Department Research Committee and forwarded to the Department Chair and the Dean of Research for approval.

Such research should lead to a publication, or at least to a KIMEP Working Paper, within a year. If no publication is produced, the teaching load reduction will be reversed, and the faculty member will be required to teach additional courses in a future semester (including summer). Where several faculty members jointly undertake unfounded research, the teaching load reduction may be shared between them unless otherwise recommended by the Dean of Research.

To be accepted as a KIMEP Working Paper, the research paper must be presented as a department seminar and be evaluated and approved by the Department Research Committee (or by the College Research Committee, in the case of the Bang College of Business). The Dean of Research will monitor this process and give the final approval.

As Deans and Associate Deans have a heavy load of administrative duties but are also likely to be senior researchers capable of doing quality research and leading research

teams, they are also eligible for a teaching load reduction (in addition to that for administrative duties) if they undertake research in accordance with the above guidelines.

### **3.4.2 Policy regarding funded research projects and consultancies**

KIMEP welcomes and appreciates involvement by its faculty in funded research projects or consultancy activities. Faculty members may directly contact various national and international agencies, research organizations and corporations for exploring the possibilities of undertaking consulting/research for them. The Center for Research and Development (CRD) will provide assistance to facilitate this process. However, in order to maintain the quality and integrity of KIMEP, faculty members with no or limited prior experience of administering funded research are advised to consult with the Dean of Research before submitting their proposal to a funding agency. Others should inform the CRD and have their proposal budget approved by the CRD before submitting it to a funding agency. Once the research proposal is approved by the funding agency, the CRD will enter into a contractual agreement with the funding agency on behalf of KIMEP. The faculty member/consultant will then enter into a separate contractual agreement with KIMEP that will clearly specify the compensation for the consultant and the overhead for KIMEP.

#### **Consultancy Overhead Rules**

KIMEP will require 15% overhead on all costs, including consultancy fees and other research expenses, if no reduction in teaching load is requested by the consulting faculty. All research proposals should include this overhead in their budget submissions.

In case the consulting faculty asks for a reduction in teaching load by 3 hours per week, 20% of the consulting fee of the faculty will be deducted in addition to the 15% overhead. The duration of the teaching load reduction, whether for one semester or longer, will be decided by the Dean of Research depending on the nature of the project.

For any faculty member requesting more than 3 hours of teaching load reduction per week in any semester, 25% of the gross salary for that semester will be deducted for each 3 hrs/week of teaching load reduction as compensation to KIMEP. Exceptions to this rule may be granted with the concurrence of the academic Deans, the Dean of Research and the SVPAA.

Consulting faculty should budget for various research expenses such as money for travel, research assistants, interns, books, data, software, computers, long-distance phone/fax use, etc., as these costs will not be part of the overhead. Furthermore, any research materials bought from consultancy or project money will belong to KIMEP after the consultancy/project is completed. This will help to improve the research infrastructure at KIMEP over time.

### 3.4.3 Weekly Seminars and Working Papers: Department Research Committees

Each department will form a Department Research Committee. The Department Research Committee will coordinate and facilitate faculty research activities within the department through organizing weekly department seminars and managing the refereeing and evaluation process for publication of Working Papers. It should normally consist of faculty members who are active researchers. There should be two or more members with the following tasks distributed among them:

- a) **Seminar Coordinator:** One member of the Research Committee should be appointed as the department's Seminar Coordinator. The Department Seminar Coordinator shall coordinate the presentation of seminars by faculty members (and students). Faculty wanting to present seminars will approach the coordinator for scheduling their presentations. The coordinator should actively enlist presentations of seminars by various faculty (and students) in advance.
- b) **Working Paper Coordinator:** Another member of the research committee would coordinate the refereeing process through which faculty original research papers are accepted as KIMEP Working Papers.

**Note:** Wherever a judgment is required, such as in the evaluation of (conflicting) referee's reports for a Working Paper or in the selection of software, books, etc., to be recommend for purchase, all members of the Research Committee shall vote on the issue, with the person in charge of the specific task having the final say in case of a tie vote.

### 3.4.4 KIMEP Working Papers

Papers presented in departmental seminars at KIMEP and based on original research can be published as KIMEP Working Papers. The Working Papers will be produced by the authors and circulated to appropriate government departments, corporations, various universities, research organizations and important individuals at KIMEP expense. Working Papers will be credited in the annual evaluation of faculty members (receiving more weight than a seminar presentation but less than a journal publication).

The procedure for acceptance of KIMEP Working Papers is designed to maintain their overall quality, as well as help the concerned faculty to improve their paper on the way to journal submission. A proposed Working Paper should be submitted to the department research committee and also presented as a department seminar. The research committee should have the manuscript reviewed by two anonymous referees (normally from the same Department) who are knowledgeable about the subject of the paper. The referees are expected to attend the seminar (anonymously) and give feedback on the paper within two to three weeks.

The feedback sheet should have an indication of the scope of required adjustments:

**“No Revision Required”:** the paper is recommended for publication as a Working Paper in its present form.

**“Minor Revision Required”:** the paper is recommended for publication as a Working Paper after minor revisions as per the feedback sheet. In this case the author should undertake the suggested revisions and write a note to the Research Committee indicating briefly what changes he/she has made in response to the referee feedback. The committee then can accept it for publication as a Working Paper without returning it to the referees.

**“Major Revision Required”:** If the referees suggest major revisions to the paper, the author should make changes to the paper as per the feedback sheet and re-submit the working paper to the Research Committee, who would forward the revised paper to the referees for their final review and opinion on the acceptability of the paper for publication as a Working Paper.

**“Not recommended for publication/ further development of research paper or skills required”:** the author is encouraged to elaborate more on the paper topic or learn new research skills as per feedback sheet, and implement them in his/her next seminar presentation.

The Dean of Research will monitor and control the above procedure and give the final approval for publication.

### 3.4.5 Incentives: Linking research outputs to tenure and promotion

In considering promotion, tenure and other rewards, the quality of research work and of the outlets in which the work published will have greater bearing than the quantity of output. While a minimum number of publications as described in this Code of Practice will be taken into account for promotion purpose, exceptions can be made with the concurrence of the Department, the College and the Dean of Research.

Research output will be evaluated yearly. Faculty will be required to earn a minimum number of research points per year in order to be tenured, promoted or to have their contracts renewed. The cut-off point will be decided by the KIMEP Tenure and Promotion committee chaired by the Senior Vice President of Academic Affairs. The following table provides an indication of the relative weights that different research activities will attract.

Research Activity or Output	Credit Range	Credit Points Awarded
Journal Article	1-8	1-3 for national and non-refereed international journals 3-6 for refereed journals of international repute 7-8 for top journals of international

		repute in the field
Authored Book, published by internationally reputed publisher	6-15	
Edited Book, published by internationally reputed publisher	3-8	3-4 Text book 4-8 Research book
Book Chapter, In a book published internationally reputed publisher	2-4	
Conference Proceedings paper	1-3	
Business Case Studies	2-8	2-4 for case studies published as KIMEP series/ national publication 3-8 for case studies published internationally
KIMEP Working Paper	1-2	Depends on quality and length
Report of funded Consulting/Research Project	2-3	Depends on quality and length
Newspaper Article, Editorial, or Magazine Article	0.5-1	0.5 for local publisher 1 for International publisher
Seminar Presentation in KIMEP	0.5 -1	1 if based on original research 0.5 otherwise

**Note:** Any higher credit for an improved level of achievement of the **same research** will **replace rather than add to** the lower credit. Thus if a seminar presentation gets 1 point and the same paper is later accepted as a working paper with 2 points, the total credit will be 2 and not 3. If this paper is later published as a journal article and receives 4 points, then the total credit for seminar plus working paper plus journal article will be 4 and not 7.

### 3.4.6 Conference Attendance Policy

Faculty members are encouraged to participate in international conferences, workshops and seminars. Normally a faculty member will be granted leave to attend up to two conferences in an academic year (e.g. during fall and spring semesters). Participation can be of two types:

Invitation to attend a conference without a paper

### Invitation to attend a conference to present a paper

In either case, a faculty member must receive formal permission from his/her Chair and Dean before commencing the trip. In the case of (b), a faculty member can apply to the Dean of Research for financial assistance from KIMEP to support the trip. The Dean may approve or disapprove depending on the budget available. If KIMEP financial assistance is granted, or if the research on which the conference paper is based receives financial support from KIMEP, approval of the Senior Vice President of Academic Affairs is needed.

A full report of the conference participation must be provided to the Chair of the department and the Dean of Research upon the faculty member's return to KIMEP.

### **3.5 Committee Work and General Academic Administration**

Faculty members will be required to take part in academic activities other than teaching and research, through committee and academic administrative work assigned to them by Departmental Chairs or Councils. The time allocated for these kinds of activities varies depending on the nature of the work, and must be considered as part of the overall workload of a faculty member.

### **3.6 Student Advising**

An effective student advising system is a pre-requisite to the credit-based education at KIMEP. Full time faculty members will be required to advise a group of students who will remain with him/her till they graduate. The time spent in such advising will depend on the number of students assigned, and must be considered as part of the overall workload of a faculty member. Instructors are required to post a schedule on their office door clearly indicating advising, research and teaching hours.

Student advising may involve any of the following:

- A general discussion with student about his/her career plan: career-path counseling
- Registration procedures
- Academic rules & regulations of KIMEP
- Semester by semester course requirements and student academic progress
- Examination rules & regulations
- Graduation requirements

Academic & non-academic disciplinary measures of KIMEP  
Extracurricular activities  
Personal problems: counseling and guidance  
Any other matter related to a student's life at KIMEP

Academic advising is an ongoing process, which requires advisor-student interaction throughout the student's education at KIMEP. The following are the essential steps that will be followed to implement the system:

Each department (Chair) appoints a faculty member as an advisor to a group of students. All faculty members must serve as academic advisors. An assigned faculty member remains with a group of students throughout their time at KIMEP until graduation.

Advising will be conducted through a combination of face-to-face sessions with the students and on-line advising.

There is a two-step process for registration: (1) the selection of proposed courses by students, (2) the advisor's approval of the selection. After giving approval, the advisor will release the student for registration, either electronically or by signing the student's paper registration form.

Incoming undergraduate students will receive their advising in advance as part of the "University Life" course, or else in August through the orientation program.

### **3.6.1 Guidelines for Faculty Advisors**

All full time faculty members must serve as academic advisors. Faculty advisors are responsible for knowing requirements for graduation in the degree programs for which they are advising. Similarly, faculty advisors are responsible for knowing course descriptions, course prerequisite requirements, and similar information.

A key issue is the availability of faculty to students when necessary. Advisors must be available in their offices during the **entire** period before the start of classes. Therefore, faculty must be on campus for the fall semester beginning August 15, and remain available to students in their offices until the end of registration. For spring semester registration, a faculty member must be on campus from January 5. The faculty advisor must have a posted schedule, which clearly indicates his/her availability, and must strictly adhere to that schedule.

Faculty members are encouraged to begin their advising activities in the Spring semester, when registration opens for the following Summer and Fall semesters. Before the end of an academic year, faculty members should take the initiative to advise their students concerning course choices for the next academic year; i.e., to complete advising and release the student for registration (either electronically or by signing the paper registration form) before the faculty member leaves on summer holiday. It should be noted that academic advising is an ongoing process which requires advisor-student interaction throughout the student's education, and not only for purposes of registration.

The main component of academic advising is guidance of the student through his/her study process to ensure that the student meets the degree requirements for graduation from the selected degree program. However, advisors may offer guidance on a variety of academic and non-academic affairs. Further, the advisor must offer advice concerning course choices to fulfill degree requirements which is suited to the individual student's performance. For example, a student with recent poor academic performance might be recommended to register for a smaller course load, etc.

### **Registration**

Registration occurs in a two-step process: (1) the student's selection of courses, and (2) the advisor's approval of student course selections. This approval is verified either by an electronic release by the advisor for registration, or by the advisor's signature on the student's registration form. During an advising session, whether face-to-face or online, a student presents to the advisor two sets of information: (1) the student's course choices for the coming semester, and (2) a Degree Requirements Checklist for the degree program in which the student is enrolled. Details of the specific departmental systems for academic advising are defined by individual departments as necessary, and Chairs of departments are responsible for implementing the academic advising system for their department.

### **Degree Requirements Checklist**

A Degree Requirements Checklist is an inventory of the course requirements for graduation from a particular degree program. Degree requirements are tabulated by category: general education requirements, major requirements, cognate courses, and free electives. A filled-out Degree Requirements Checklist form lists by category those courses which the student has already successfully completed by category, along with those courses which the student is proposing to register for and which category they will apply toward. This form allows the faculty advisor to easily evaluate the student's progress towards meeting the degree program requirements, so that he/she may offer the proper advice concerning the student's current registration choices. The student must bring a filled-out Degree Requirements Checklist to the advising session for the advisor's review.

### **Informing Students of Advising Procedures**

Proper operation of the KIMEP academic advising system relies on properly conveying information to students on the procedures of the system.

When a student visits the KIMEP web page to begin the registration process, the student is informed that he/she must consult the advisor for his/her registration process to be completed. At this time, it is explained to the student that his/her advisor will counsel them on the student's course selections, in light of degree requirements for the degree program that the student is registered in. It is further explained that the student's course

selections are registered and the student's registration is fully completed only after a release is granted by the advisor.

The general policies of the KIMEP advising system are published for students on the KIMEP website, in the KIMEP catalog, and in admissions application materials. Information is disseminated widely to prevent situations where students do not begin the registration process until the last day of registration and only then learn that they must get a release from an advisor to register.

Particularly challenging is the need to inform first year entering students about KIMEP student advising procedures and requirements. These students receive information on the advising process from KIMEP's Director of Advising Services, located in the Registrar's office. For their first semester, students are advised by staff of the Director of Advising Services. During their second semester of studies and onward, faculty members serve as the primary advisors, working with the College Advising Coordinator and departmental staff. All incoming students go through a period of orientation that includes taking the "University Life" course and formal student orientation events.

### **3.6.2 Guidelines for Chairs of Departments**

Responsibility for the implementation of individual departmental programs for academic advising is held by department Chairs.

Departments assign a group of students to a faculty advisor. Chairs must promptly give a list of students/advisors to the Registrar for inclusion into the Registry's database.

Chairs must provide information to the Registrar's office concerning required courses for graduation in all of the academic programs of the department. This is necessary for the creation of Degree Requirements Checklists. Furthermore, as degree requirements for programs may change with modifications to the degree curriculum each academic year, Chairs must provide to the Registrar's office the program requirements of degree programs that are specific to the year of entry of the student.

Chairs must ensure that all full-time faculty members serve as academic advisors. The number of students per faculty advisor varies depending on the department, with the ratio determined by individual departments.

The quality of advising is a key issue. Chairs are responsible to inform their faculty members of recent changes in academic policies made by the College Council. Chairs are also responsible to ensure that faculty are advising students properly, and not simply releasing students to register without true advising. Department Chairs have the responsibility to determine the actions needed to address cases of inadequate advising or improper advising procedures.

## **3.7 Course and Curriculum Development**

Academic planning and development activities are an important and integral part of the overall workload of teaching faculty members. Such work will be initiated and completed through working committees appointed by the departments or the College Council. A faculty member can claim credit for such activities while applying for promotion, contract renewal or tenure.

### **3.8 Consultancy work**

KIMEP has developed a firm policy to allow its faculty members to engage in this kind of activity. Policy and procedures are enunciated in section 3.4.2.

### **3.9 Copyright and Intellectual Property**

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 concerned department, 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).

Research, publications, books and other scholarly article/works/materials undertaken by a faculty member during his/her tenure at KIMEP, either in paper or electronic form, shall be the property of the faculty member.

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.

Any disputes shall be dealt with according to the legislation of the Republic of Kazakhstan on this subject.

### **3.10 External activities**

KIMEP faculty members wishing to get involved in or initiate gainful activities (other than research/consultancy work as mentioned in section 3.4.2) with other organizations or institutions must obtain permission of the Chair, the Dean and the Senior Vice President of Academic Affairs. Such permission is not automatic. Outside employment cannot excuse unsatisfactory performance in a faculty member's core responsibilities of teaching, research, administration, and Institute/community service.

### **3.11 Proctoring**

Each faculty member is required to proctor examinations, including his/her own examinations, as part of his/her overall workload. There is no maximum or minimum number of proctoring assignments. Proctoring assignments are determined by the departments. Weekend proctoring, including entrance examination proctoring, should be viewed as part of a faculty member's overall obligation to KIMEP and does not attract overtime remuneration.

Proctoring should be carefully planned by a department and by the instructors in order to maintain integrity of the examinations. There should be at least one proctor for every thirty students.

### **3.12 Continuous Assessment for Students**

A student's academic performance and progress should not be judged only by major tests or examinations. Students' progress should rather be continually monitored through a series of quizzes, assignments, monthly tests, final examinations, etc. A unified policy regarding the allocation of weights to different methods of assessment should be devised and adopted by each College Council.

### **3.13 Grade Submission Procedures and Grade Appeal**

It is the responsibility of each faculty member to submit students' grades at the completion of the course. Grades for a course together with the course management form must be submitted by the instructor to the chair of the department within 72 hours of the completion of the final examination. Grade sheets/format provided by the Registrar's Office (Excel format) must be used for this purpose. The Chair will sign the grade sheet and forward it to the Registrar within 24 hours. In the event of a difference of opinion, the Chair will review the grades with the instructor. The instructor's decision is final. No grades are to be changed without the formal approval of the instructor.

Faculty members are allowed to change grades only if they have erred in compiling the final grade and the original grade submitted was incorrect. Grade changes are acceptable only if the notification is given using the "Grade Change Form" within 2 weeks from the date the original grade was submitted. Appropriate reason(s) must be given for the change. This form must be signed by the instructor and the Chair. The form will be then sent to the Dean for final approval.

Students disputing a grade may contact the instructor directly or the Chair of the department. The Chair will assist the students in contacting the faculty member to discuss the grade dispute. The faculty member's decision is final.

### **3.14 Class and Final Exam Schedules**

It is the responsibility of each department to plan and devise the class and examination schedules for each semester. A department should appoint a committee to do this job. In order to minimize inter-departmental and inter-college conflicts, scheduling must be coordinated through the offices of the College Deans and Registrar. The following procedures shall be used:

1. Class and Final Examination Schedules must be completed and handed over to the College Dean at least two weeks prior to the opening of registration or the commencement of final exams, respectively.
2. Each class or examination schedule document must be duly signed by the concerned Chair and Dean.
3. After acceptance by the Registrar, each faculty member/advisor must have a copy of the schedule (hard copy or electronic) at least one week prior to the opening of registration.
4. No changes are to be accepted by the Registrar without formal written approval of the concerned Dean. Deans must try not to introduce any changes in the last week preceding the opening of registration.
5. The Registrar is not to introduce any change coming directly from a faculty member. All such requests must be sent to the concerned Dean.
6. In case of a conflict of timing at KIMEP level, the SVPAA or the AVPAA will meet with the Deans and the Registrar to resolve the issue.

### **3.15 Student Cheating Policy**

1. Students caught with answer sheets to a test that match with the question papers will automatically be expelled from KIMEP. Such cases will first be reported by the Proctors to the College. The College will report the matter to the Provost Marshal who will convene a meeting of the KIMEP Disciplinary Committee. The Committee will, on behalf of KIMEP, issue the expulsion order.
2. Faculty members must report all cases of cheating to the College or department disciplinary committee within 24 hours. The college disciplinary committee will determine the appropriate punishment. Failure to report an instance of cheating will result in appropriate action against the faculty member. Students will have the right to launch an appeal of any adverse decision to the KIMEP Disciplinary Committee through the Provost Marshal.

3. Any student caught in a KIMEP academic or administrative building after 1 a.m. will face disciplinary action, including expulsion from KIMEP. Security guards must report such incidents to the Provost Marshal.

Faculty members, Deans and Chairs are requested to inform students about the above policy.

### **Security of Exam Papers**

Each faculty member is responsible for the security of his/her exam question paper. Should faculty members need security vaults or other kind of arrangements for storing papers, they should approach the department Chair. KIMEP will extend assistance to faculty members in maintaining exam security.

### **Plagiarism**

In cases of plagiarism by students, the policy stated in the current KIMEP Catalog shall be followed.

### **3.16 Student Classroom Behavior Policy**

KIMEP supports the principle of freedom of expression for both instructors and students. The university respects the rights of instructors to teach and students to learn. Maintenance of these rights requires classroom conditions that do not impede their exercise. Student classroom behavior that seriously interferes with either (1) the instructor's ability to conduct the class or (2) the ability of other students to profit from the instructional program will not be tolerated. An individual engaging in disruptive classroom behavior will be subject to:

**First offense:** warning from instructor

**Second offense:** removal from class

**Third offense:** sanctions imposed by KIMEP's Academic Disciplinary Committee.

Disruptive behavior, as applied in an academic setting, means verbal and other behavior in the classroom that a reasonable faculty member judges as contrary to normal academic functions. Examples include, but are not limited to, speaking persistently without being recognized, persistently interrupting other speakers, verbal and other behavior that distracts the class from the subject, intimidation, physical threats, harassing behavior, use of mobile telephones, personal insults, physical contact, and refusal to comply with faculty directions.

While the above guidelines cover nearly all disruptive situations, a few specific examples deserve mention.

1. Students are required to be on time for all classes. If students arrive later than 10 minutes after the start of class, instructors have the right to refuse entry.
2. Students leaving the classroom before the end of class must get the instructor's permission in order to leave.
3. Mobile phones and other electronic devices that could disrupt class must be turned off upon entering the classroom. Instructors have the right to confiscate mobile phones (that have not been turned off) for the remainder of the class period.
4. Unauthorized talking by students during class is not permitted. If such talking occurs, it is recommended that instructors give one verbal warning to the offending student or students. If a second instance occurs, instructors have the right to direct offending students to leave the classroom.

KIMEP respects and supports the notion of academic freedom for instructors in the classroom. As a class management aid, the above set of guidelines is designed as a suggestion for instructors in formulating their own classroom behavior policy. This policy should be included in the course syllabus and reviewed with students during the first class period.

## **SECTION IV: Academic Administration and Processes**

All academic programs leading to degrees are grouped and classified within the administrative structure of a department. Each department is headed by a Chair.

Departments are grouped within the administrative structure of a college. Colleges form the larger structure of the Institute (i.e., KIMEP). Each college is headed by a Dean.

Faculty members belong to a department, and they report to the Chair. A Chair reports to the Dean. Deans report to the Senior Vice President of Academic Affairs.

1. The Dean of a college must hold a terminal degree, must have relevant academic and/or professional experience, and must hold the academic rank of Full Professor.
2. The Associate Dean of a college and the KIMEP Dean of Research must hold terminal degrees, must have relevant academic and/or professional experience, and must hold the academic rank of Associate Professor or above
3. Department Chairs and Associate Chairs must hold terminal degrees, have relevant experience, and hold the academic rank of Assistant Professor or above. Chairs are elected by the departmental faculty for a term of two years. An incumbent chair may be re-elected for an additional term of two years.
4. Graduate Program Directors must hold terminal degrees, have relevant academic and administrative experience, and hold the academic rank of Associate Professor or above
5. Undergraduate Program Directors must hold terminal degrees, have relevant experience, and hold the academic rank of Assistant Professor or above

All of the above officials must hold full time tenured or tenure-track faculty positions at KIMEP.

### **4.1 Policy-making bodies**

Academic policies are planned, developed and approved at three different levels:

- Departmental Council
- College Council
- KIMEP Council

Execution of these policies takes place through three different levels:

- Dean's administrative committee
- Senior Vice President of Academic Affairs' administrative committee
- President's cabinet/ KIMEP Executive Committee

#### **4.1.1 Departmental Council**

This is the collective debating and decision-making body at the departmental level. All full time faculty members are members of this council. It is headed by the Chair. The council discusses, debates and approves all academic and non-academic matters affecting the department. In particular, the Council deals with such matters as:

- Academic programs and curriculum
- Quality assurance
- Admission of students to department programs
- Graduation requirements for students
- Faculty workload
- Faculty planning, hiring, promotion and dismissal
- Analyzing the outcomes and effectiveness of programs
- Faculty research
- Material resources
- Departmental budget
- Marketing and promotion strategies
- Class schedules
- Self Assessment (see section 8.5)

The Council may appoint working committees as it deems fit. The Committees report to the Chair of the Council. Where a consensus is needed, the Chair will report the work of the committees to the Council. Otherwise, the Chair can make an administrative decision.

#### **4.1.2 College Council**

The policy- and decision-making body at the college level is called the “College Council”. It is chaired by the Dean. This Council plans, develops and approves policies, rules and regulations that govern academic activities of all academic departments within the College. The departmental council makes recommendations to this council on issues that transcend the provenance of the departmental council itself.

The College Council will determine the common and general requirements of the academic programs administered by the College (“College Requirements”).

#### **Composition**

The Council shall be composed of full time tenured and tenure track faculty members holding terminal degrees from the constituent academic departments. The Dean shall be the Chair of the Council. Each department shall be represented by the Chair and an elected faculty member. Non-tenure track faculty members may be invited from time to time as observers without voting rights.

## **Standing/working Committees**

The Council will form standing, working or ad-hoc committees to deal with matters of business as it deems fit. These committees are responsible to the Council. These committees are to be formed in the first meeting of the Council with full participation of all members. Each Committee will then meet separately to elect a Chair of the Committee, and to devise its terms of reference.

Suggested Committees:

- Academic Planning and Curriculum Committee
- Tenure & Promotion Committee
- Quality Assurance Committee
- Budget & Resources Committee
- Academic Discipline Committee
- Admissions Committee
- Other Committees as the Council may determine

## **Bylaws of the College Councils**

Article -I: The College Council

Article-II: Purpose

Article III: Functions

Article IV: Composition

Article V: Adoption and Amendments

Article VI: Restriction on amendments

Article VII: Meetings

- regular meetings
- special meetings
- minutes of the meetings
- quorum

Article VIII: Standing Committees

Article IX: Terms of office of council and standing committee members

### **Article I: College Council**

The assembly of the representatives of faculty members of the constituent departments within a College shall be known as the "College Council". It is the collective academic policy making body of the affiliated departments. The affairs of each college shall be under the direction of this Council.

### **Article II: Purpose**

The main purpose of the Council is to involve faculty members in formulating, delivering and reaching collective decisions on matters affecting academic and administrative affairs of the college. An important function of the council is to transform the interests of its constituent departments into forms congruent with the interest of the whole college.

### **Article III: Functions**

The College Council, subject to the powers vested in it by the KIMEP Council, shall consider and make recommendations concerning all matters of academic and general interest, as distinguished from those affecting a single department. The scope of its functions includes the following:

- To approve programs of studies and curricula
- To approve changes in the programs and curricula, and new programs and specializations
- To approve policies and regulations concerning studies, student admission, graduation and student conduct
- To approve the Catalog and other printed materials
- To consider resource requirements and make allocations
- To recommend the award of degrees and diplomas, honorary degrees, medals and prizes
- To develop and approve the college budget
- To develop and approve college R & D projects and their budgets
- To recommend scholarships and grants to students
- To approve student admissions to constituent departments
- To approve faculty requirements
- To act as a grievance body for faculty and students
- To consider recommendations of the Tenure and Promotion Committee
- To consider and approve recommendations of other standing committees
- To consider and determine suitable actions on other matters that affect the entire college
- To consider and offer recommendations on any matter referred to it by the Senior Vice President of Academic Affairs or the President of the Institute

## **Article IV: Composition**

The Council shall be composed of full time tenured and tenured track faculty members from the College's constituent academic departments holding academic ranks from Assistant Professor to Professor. The Dean of the College shall act as the Chair of the Council. Each department shall be represented by the Chair and by one faculty member elected by the faculty of all ranks. In addition, there shall be one student representative from each of graduate and undergraduate programs within the college.

The College Council is empowered to invite individuals from business and industry, government, and the general public to attend council sessions as observers (non-voting), if and when input from the community at large is needed to develop academic programs, curricula and courses.

## **Article V: Adoption and Amendments**

### **A. Initial Adoption**

The Bylaws shall become effective upon approval of the KIMEP Council or of the Executive Committee of KIMEP. A copy of these Bylaws shall be posted on the KIMEP website and given to all faculty members.

### **B. Future Amendments**

Article VI of these bylaws cannot be amended.

Subsequent to initial approval of these Bylaws, proposed amendments other than to Article VI and its footnotes may be proposed by any of the following:

- 1) The College Council;
- 2) The Dean
- 3) The Senior Vice President of Academic Affairs
- 4) The President
- 5) The Executive Committee of KIMEP

Proposed amendments shall be distributed by the College Council to each member of the faculty at least two weeks prior to a College Council meeting at which the proposed amendments are to be discussed. Any faculty member may attend meetings at which amendments to these Bylaws shall be discussed, but only Council members shall vote on the proposed changes.

Within one week following this meeting, the proposed amendments (as modified at the meeting) shall be distributed to each member of the College faculty together with a ballot. Ballots are to be returned within two weeks of the distribution date and will be counted by members of the Executive Committee. In order for the voting procedure to be

considered valid at least 30% of the faculty eligible to vote must return their ballots. The proposed amendments shall be forwarded to the Senior Vice President of Academic Affairs in order to assure compliance with Article VI. Adoption of the proposed amendments requires a favorable two-thirds majority of the votes cast. Following the completion of the counting of the ballots and following verification of its compliance with Article VI, an amendment receiving a favorable two-thirds majority of the votes cast shall be considered to be adopted and shall become effective immediately.

#### **Article VI: Restriction on amendments**

These Bylaws, as well as any actions, resolutions or policies resulting from the regulations and procedures set forth in these Bylaws are limited and shall continue to be limited to those not in conflict with any present or future actions, resolutions or policies including contracts and supplementary agreed upon letters and amendments resulting from any collective bargaining process that have been approved by the Board of Trustees, the KIMEP Council, or by the President when delegated to do so by the KIMEP Board of Trustees, or any present or future action or policy of the President of KIMEP taken within his/her authority as defined by the Board. The Senior Vice President of Academic Affairs and the Dean's appointment, responsibilities, aegis and authority are defined by the Board, or by the President taken within his/her authority as defined by the Board, and is not addressed in these Bylaws.

The members of the College Council shall be directed in their actions by the rules and procedures set forth in the KIMEP Faculty Code of Practice, the KIMEP Charter and other policy documents.

#### **Article VII: Meetings**

Meetings of the College Council shall be presided over by the Dean of the College. In the event that the Dean is unable to attend part or all of a scheduled meeting of the College Council, the Associate Dean will preside. If s/he is also unable to attend, members of the College Council shall designate a temporary replacement.

##### **A. Regular Meetings**

The College Council shall hold at least one meeting every three weeks for carrying out necessary business of the college.

The Dean may call additional meetings as s/he sees fit. The Office of the Dean shall provide written notice of each meeting of the College Council to all members of the Council at least two days prior to the date set for the meeting. The agenda for the meeting, provided by the Dean, shall be delivered to the members at least one day prior to the meeting date. Motions on substantive issues which are made during the course of a meeting but which were not announced on the agenda of the meeting may not be

considered for final vote at the meeting. Instead, they must be placed on the agenda of a subsequent meeting to be voted on at that time.

## **B. Special Meetings**

The Dean may call for a special meeting of the College Council on his/her own initiative. He/she shall call for a special meeting upon receipt of either:

1. A request by at least half of the voting members of the Council
2. A petition signed by twenty-five percent or more of the members of the College faculty.

At the request of the Dean, the notice of and the agenda for a special meeting shall be delivered to the faculty at least three days prior to the date set for the meeting. In addition, the Dean's Office shall notify each department Chair of the meeting by telephone at least three days prior to the meeting date. Special meetings shall be restricted to consideration of matters for which the meeting was specifically called.

## **C. Resolutions and Minutes of the meetings**

The Dean shall designate someone to take minutes of each meeting of the College Council. These minutes shall be subject to approval by the Council at the subsequent College Council meeting. Copies shall be sent to the Senior Vice President of Academic Affairs for information and action. College resolutions cannot be altered or modified without formal approval of the KIMEP Council or the Executive Committee of KIMEP.

## **D. College Council Quorum**

A quorum for all meetings of the College Council shall consist of one-half of the Council members, provided that at least one member from each department is present at the meeting.

## **Article VIII: Standing Committees**

- A. The College Council shall form Standing Committees, which shall report to the Council to assist in the conduct of its business. Each committee shall consist of three or more members headed by a Chair. Members including the Chair shall be elected by the council from amongst its members and faculty of the constituent departments. In addition, ad-hoc subcommittees may be formed by each standing committee taking in members from constituent departments. Ad-hoc committees report to the council standing committees.
- B. Each Standing Committee shall formulate its own terms of reference, procedures and forward them, in writing, to the Dean. The Dean may recommend changes in these. The procedures and terms of reference of each Standing Committee will be presented

to the College Council for approval by a majority of the voting members. Upon approval, these procedures shall be appended to these Bylaws.

The procedures, standards and criteria for Tenure and Promotion as outlined in the Faculty Code of Practice cannot be amended or altered by the College Council or any Standing Committee.

C. The following shall be the Standing Committees of the College Council:

1. Academic Planning & Curriculum Committee
2. Tenure & Promotion Committee
3. Academic Discipline Committee
4. Research and Development Committee
5. Scheduling Committee
6. Budget Committee
7. Admissions Committee
8. Quality Assurance Committee
9. Library and Resource Committee

#### **Article IX: Terms of office**

- A. Terms of all voting members of the College Council and of all Standing Committees shall commence on September 1 and shall end on August 31.
- B. In the event that a member of the council is unable to complete part or all of his or her service on the council, the member's department shall elect a replacement to serve during the originally elected representative's absence. In the event that a member of a Standing Committee is unable to complete part or all of his or her service on that Committee, the College Dean shall appoint a replacement to serve during the originally elected representative's absence. Should the originally elected or appointed representative become able to resume service, his/her original term may be completed. In any case, the term of a replacement representative shall end no later than the original term of the person who is replaced.

#### **4.1.3 KIMEP Council**

##### **Preamble**

The Charter of the JSC KIMEP (clause 6.43) provides for the establishment of a Senate at KIMEP level to be called the "KIMEP Council" (KC), which is the highest collective decision and policymaking body within the Institute. The membership of this Council shall be drawn from KIMEP's management, administration, faculty and students. The members and composition of the Council shall be determined in accordance with procedures established in the KC by-laws. Members of the Board of Trustees shall have

the right to participate in the Council's meetings as observers. The Council shall function in accordance with its own by-laws.

Policies governing academic, non-academic, administrative, finance and budgetary activities shall be formulated and approved by this Council. Under the newly approved Charter, this Council has the exclusive right to review and approve student tuition fees amongst other things. The Council shall have a number of standing committees, which will primarily concern themselves with matters of policy and monitoring. Academic resolutions passed by the College Councils including introduction of new academic programs that involve major financial considerations shall be submitted to this Council for final approval. In addition, the creation and elimination of academic and support units, modifications to the Faculty Code of Practice, budget and resource allocations, etc. shall require final approval of this Council.

### **Bylaws:**

- Article I. Establishment, purpose and authority
- Article II. Composition of the Council: Structure and Membership
- Article III. Voting privileges and quorum
- Article IV. KIMEP Council Meetings
- Article V. Amendment to KIMEP Council bylaws
- Article VI. Standing Committees of the Council

## **Article I. Establishment, purpose and authority**

### **I.1. Establishment**

The KIMEP Council is established as the highest collective decision and policy making body within the Institute, as per Clause 6.43 of the JSC KIMEP Charter. The Council shall have necessary power and authority vested in it by the Charter to make and approve policies for the overall control and management of the Institute, and to make such reasonable policies for the education of the students.

### **I.2. Purpose**

The Council/Senate undertakes to reach collective decisions on policies to be initiated, evaluated and implemented for the overall management and control of the Institute. An important function of the KC is to establish and approve policies leading to free and fair conditions of studies, teaching, learning, research, and codes of practice for students, faculty and administrative staff. It will strive to transform the interests of its various constituency groups into forms congruent with the interest of the Institute as a whole. The Council, subject to the powers vested in it by the Charter of the Institute, shall

consider and make recommendations concerning all matters of general interest, as distinguished from those affecting a single college, department or unit.

### **I.3. Authority and functions of the Council**

The KC shall be responsible for developing policies for meeting the objectives and goals set out by the Board of Trustees. In particular the KC is responsible for strategies and plans for the development of the Institute, and for the educational, administrative, financial and tuition policies of the Institute. It may, insofar as budgetary conditions are concerned, create, maintain and discontinue units, facilities, faculties, departments and programs, and may enact bylaws and regulations for the conduct of its affairs. In particular, the Charter vests the following authority in the Council:

1. Develop and implement policies for the effective governance and control of the Institute
2. Develop and implement strategic plans for development
3. Approve the internal management structure of the Institute
4. Create and/or eliminate departments and units
5. Approve academic programs, curricula and specializations, research directions and related projects
6. Approve policies and regulations on academic processes and procedures, research, admission and graduation, faculty and student conduct
7. Confer degrees, diplomas and certificate to graduating students
8. Confer honorary degrees to outstanding national and international citizens
9. Consider and approve tuition fees for all educational programs
10. Approve the Code of Practice for the faculty and administrative staff
11. Approve international relationships and collaborative projects
12. Approve the Catalog
13. Approve the budget of the Institute
14. Consider and determine other matters that affect the entire Institute, or issues that clearly affect more than one organizational area of the Institute
15. Consider and make recommendations on any matters referred to it by the Board of Trustees, President, Vice Presidents, Deans and College Councils, or faculty and student senates.

### **Article II. Composition of the Council: Structure and Membership**

The members and composition of the Council shall be determined in accordance with the stipulations of the Charter and the procedures established in the KIMEP Council Bylaws.

## **II.1. Officers and structure of the Council**

### **Officers:**

#### **II.1.1 Chairperson**

The Chair of the KIMEP Council shall be the President of KIMEP. All resolutions of the Council shall be enforced after the approval of the Chair of the Council (President) under the power and terms vested in the President by the Charter of KIMEP.

#### **II.1.2. Vice-Chairperson**

The vice-chair of the KIMEP Council shall be appointed by the President from one of the senior officials such as Vice Presidents.

Should the President choose not to exercise this option, the vice-chair shall be elected by the Council itself.

#### **The vice-chair**

1. Fulfils all of the chair's duties and responsibilities in the Council when the chair is absent
2. Assists in the formation of the Council's standing committees and maintains an ongoing collaborative relationship between the Council and top administrators as well as other governing committees.

#### **II.1.3. Chairs of the Standing Committees**

All KC Standing Committees shall be chaired by a member of the Council who shall be elected by individual committee members. Chairs shall serve for two-semester terms, renewable twice.

#### **II.1.4. Secretary**

The Council shall elect a secretary of the Council who will be responsible for scheduling meetings, maintaining minutes and follow-up of Council resolutions.

**Structure:**

The Council shall have:

1. Voting members derived from the KIMEP administration, faculty, support staff and students. At least 50% of the voting members must be members of the teaching faculty.
2. An Executive Committee consisting of the President, Vice Presidents, Deans and elected representatives. The Council through majority voting may vest power in the Executive Committee to take any decision on behalf of the Council for the purposes and effective management of the Institution.
3. Standing Committees that will report to the Council, through the Chair of the Council, on matters assigned to them by the Council.

**II.2. Composition and membership of the Council****II.2.1. Representatives from KIMEP Administration (ex officio members)**

President (Chair of the Council)  
Senior Vice President of Academic Affairs  
Vice President of External Affairs  
Vice President of Administration and Finance  
Associate Vice President of Academic Affairs  
Dean of Student Affairs and Provost Marshal  
Dean of each Academic College  
Executive Director of the Office of the President

**II.2.2. Faculty Representatives**

1. Six faculty members, two from each College  
Such faculty members will be elected by the faculty of the respective college.
2. One elected representative from the Language Center
3. One elected representative from the Computer and Information Systems Center

**II.2.3. Administrative Staff Representatives**

Staff shall be represented by one Staff Council representative and one staff member elected by the KIMEP staff at large

#### **II.2.4. Student Representatives**

1. President of the Student Government
2. One elected student from the Bang College of Business
3. One elected student from the College of Social Sciences
4. One elected student from the College of Continuing Education

The election/nomination procedures for said representatives shall be conducted by the student government under the supervision of the Dean of Student Affairs

#### **II.2.5. Board of Trustees representative**

The Board of Trustees may nominate one Board member to attend the Council as a non-voting observer.

#### **II.2.6. Alumni Association representative**

The Alumni Association of the Institute shall have one non-voting representative on the Council. The nomination/election procedures for the representative shall be determined by a meeting of the Alumni Association.

#### **II.3. Terms of membership**

Ex-Officio members of the KIMEP administration are permanent members. Other Council members are elected for a term of two years with the option of being reelected for another two-year term. After two consecutive terms, a member must sit out a period of at least two years before being eligible for membership again.

### **Article III. Voting privileges and quorum**

#### **III. 1. Voting privileges and Quorum**

All members of the Council shall have voting privileges unless otherwise mentioned in these by-laws. The Chair shall vote only in cases when a tie-breaking vote is needed. All members of the Council Standing Committees have voting privileges in their respective Standing Committees.

A quorum for the Council shall consist of a simple majority of the voting members (50% + 1). Decisions shall generally be made by a simple majority of members present and voting in the meeting. However, exceptions that require a 2/3 majority of members present and voting in the meeting are the following:

- (1) Censure or impeachment of any of the members of the KC;
- (2) Creation or elimination of academic programs and/or units;
- (3) Approval of the budget;
- (4) Amendments to these by-laws;
- (5) Any modification to KIMEP's statements of mission and objectives.

## **Article IV. KIMEP Council Meetings**

### **IV.1. Rules**

Meetings shall follow Robert's Rules of Order, and in the case of important policy decisions, any member of the KC can request voting be conducted by a secret ballot. In the case of a tie, the Chair of the KC has the privilege to cast the tie-breaking vote.

### **IV.2. Frequency**

In normal circumstances, the KC shall meet at least once a semester. In extraordinary circumstances, however, the Chair of the Council, or a simple majority of members of the Council, or members of the KIMEP community may ask for extraordinary meetings. Such requests must be made in writing to the Secretary of the Council. Details of the procedures are mentioned in clause IV.5.

### **IV.3. Attendance**

All KC members shall be expected to attend general KC meetings as well as meetings of the KC Standing Committees of which they may be a member. The Vice Chair of the KC is responsible for keeping attendance records of KC general meetings, as are the chairs of the Standing Committees for their respective committees. A record of attendance shall be part of the minutes regularly made available to the KIMEP community. With a simple majority vote, the KC shall have the right to dismiss members who miss more than three meetings of the KC and/or any of its Standing Committees in any given academic year (September to August), and to initiate the appropriate procedures to replace said members in a timely fashion.

### **IV.4. Minutes**

The KC Secretary shall make an executive summary of all minutes available on the KC website within five working days after a KC meeting. Detailed minutes, including supporting documentation/reports, shall be made available to all KC members as soon as the full minutes are approved by simple majority at the next KC meeting.

#### **IV.5. Extraordinary Meetings**

Extraordinary meetings may be called at any time by the Chair or acting Chair of the KC after consulting with the Executive Committee, or within five working days of receipt of a written petition to the Executive Committee signed either (1) by a simple majority of the KC members, or (2) by at least 25 members of the faculty and/or staff, provided that the issues for which the meeting is requested falls under the purview of the KC as outlined in the Charter.

#### **IV.6. Alternates / Substitutes**

The KC may permit elected alternates with voting privileges and substitute members with voting privileges, where such privileges are not limited by the charter and by-laws of the KC. In general, if a KC member cannot attend a meeting, s/he can nominate a substitute who, if approved by a simple majority of KC members present and voting, will have all the rights and privileges of said KC member, though only for that one meeting. In case the KC member is a representative of the Faculty/college Council or the Staff Council, the substitute also needs the approval of the representative governing body.

#### **Article V. Amendments to the KC Bylaws**

An amendment to the bylaws of the KC may be initiated by any member of the KC, or by any of the Standing Committees of the KC. The proposed amendment will be filed with the Chair and Secretary of the KC, who will place the proposed amendment and the date of its presentation in the agenda of the next KC meeting. Approval of an amendment requires a two-thirds majority of the voting members of the KC, provided that a quorum is present.

#### **Article VI. Standing Committees**

The KIMEP Council shall have a number of Standing Committees for the purpose of carrying out the business and functions of the Council. At least two members of a committee shall be members of the Council. Others may be designed from the KIMEP community at large on the authorization of the KC. The committees are responsible to the Council. All findings and recommendations of the Standing Committees must be approved by the KC in its next meeting, or by the Executive Committee if the KC is unable to meet. The existence, duties and functions of Standing Committees may be abolished, changed, altered or amended, and new and additional Standing Committees may be created by the Chair of the Council.

The council shall have the following Standing Committees operating under its oversight:

- Accreditation Steering Committee
- Academic Affairs and Education Policy Committee
- Admission and Scholarship Committee
- Library Committee
- Research and Development Committee
- Tenure and Promotion Committee
- Student Affairs Committee
- Disciplinary Committee
- Grievances Committee
- Finance Policy and Budget Committee
- Physical Planning Committee
- Any other committee created by the KC, including Special Tasks Committees as it deems fit

The Standing Committees, in their specifically designated areas, support the KC in its mission and directly report, through their Chairs, to the KC at large. A large part of the KC business is referred by the Council to one of the various Standing Committees or, occasionally, to an ad hoc Special Tasks Committee. Each committee is also encouraged to initiate studies and to formulate recommendations on any policy issue within its purview as defined in the general charges of the respective committee. The Standing Committees issue reports to the KC and can recommend, in their areas of concern, specific actions to be taken.

The Executive Committee of the KC will transmit specific matters to each committee for study and action, with the fullest possible background information. The Executive Committee will also advise committees with respect to procedures, timetables, and resource persons. If committee Chairs have questions about matters specific to their committees, they may schedule individual meetings with the KC Executive Committee.

### **VI.1. Membership**

Each Standing Committee shall consist of at least three members, at least two of whom must be KC members. However, there is no predetermined maximum number of members on any of the Standing Committees. Rather, the number shall be determined by the KC in accordance with the tasks, responsibilities, and issues covered by each respective Standing Committee. Standing Committee members shall be drawn from KC members and from members of the larger KIMEP community who either bring expertise to the tasks at hand, and/or who are most affected by, or interested in, the issues covered by a given Standing Committee.

The Chair and at least one additional member of each Standing Committee must be members of the Council. KC members will be asked to designate the KC Standing Committee(s) on which they prefer to serve. Preferences will be honored to the extent they are compatible with other requirements for balance, continuity, etc.

At the inception of each of the Standing Committees outlined herein, members will be assigned one or two-semester terms. After the first year of operations, at least one quarter of each Standing Committee shall be drawn from the previous year's members to preserve continuity of membership. Generally, the Chairs and members of the Standing Committees will serve for two semesters, with the possibility of two renewals (or a total of 3 years as a member or Chair).

## **VI.2. Meetings**

All KC Standing Committees shall meet at least once a month, or, if necessary and/or requested by the KC, more frequently. The Chair of the Standing Committee convenes and presides over each meeting. In the absence of the Chair, the other KC member of the Standing Committee shall preside (if neither are available, the Committee can, assuming there is a quorum, select an interim chair by simple majority for the duration of the meeting). The meetings of all KC Standing Committees are open to any member of KIMEP community as observers, but not as voting members

## **VI.3. Minutes**

The first order of business for each Standing Committee is to select a Secretary. Based on the minutes provided by the Secretaries, the Chairs of the respective Standing Committees will provide a brief report to the KC at large at each subsequent KC meeting. In case a Chair of a Standing Committee cannot attend the next KC meeting, the Secretary of the respective Standing Committee will provide the report. The secretaries' reports/minutes will also be put on the KC website no more than five working days after a Standing Committee meeting.

#### **VI.4. Agenda for meetings of the KC**

1. The Executive Committee advises on setting the agenda for meetings of the KC.
2. Any members of the KC or Executive Committee, or any 10 members of the KIMEP community, may submit to the Chair of the KC in writing a proposed agenda item no less than five working days prior to a KC meeting.
3. The Executive Committee, by a majority vote, shall decide what proposals—in addition to what the Chair and Vice-Chair have put on the agenda--shall be included on the agenda, and in what order, based on the Executive Committee's judgment as to whether a given proposal lies within the jurisdiction of the KC and is appropriate for KC action.
4. As an emergency measure, the Chair may, under priority announcement, add to the agenda items of new and/or urgent business.

## **SECTION V: Terms of Reference for Academic Administrators**

### **5.1 Senior Vice President of Academic Affairs**

The Senior Vice President of Academic Affairs (SVPAA) is the Chief Academic Officer of the Institute. The SVPAA is appointed by the Board of Trustees on the recommendation of the President and is responsible to the President for overall educational and research policies, plans, leadership, and direction of academic programs at KIMEP. The SVPAA shall deal with and advise the President on the most effective uses of the material and human resources for educational purposes. The Associate Vice President of Academic Affairs, Deans of academic colleges, the Dean of Research, and Directors of academic support units such as the Language Center and Library shall report to the SVPAA.

In particular, the responsibilities of the SVPAA shall include the following:

1. Advise the President on the matters of academic policy, planning and development;
2. Furthering a vision of educational and research excellence
3. Supervise and co-ordinate education/research mission across constituent colleges and support academic units
4. Overseeing new program planning and development, and approval
5. Supervise the preparation of operating and capital budget of academic colleges and support academic units, and submit it to the Chief Financial Officer
6. Plan, coordinate and supervise faculty hiring and tenure appointments, and report to the President for final approval
7. Faculty management and development in coordination with deans
8. Plan and develop Research Policy
9. Plan, develop and monitoring policies and procedures for academic programs and studies, and faculty code of conduct
10. Providing institutional research to President's office
11. Plan and develop links and collaboration with international academic and research organizations
12. Supervise and coordinate Quality Assurance and Accreditation issues
13. Represent KIMEP in external events and activities
14. Other duties as may be assigned by the President

The SVPAA is authorized for and on behalf of KIMEP to perform the following acts:

To execute and deliver any and all written faculty appointment contracts

To execute and deliver agreements and memorandum of understanding with other academic and research institutions to which KIMEP may become a party provided such acts are authorized by the President and/or by the Executive Committee of KIMEP

To sign any and all written contractual agreements with external organizations concerned with academic and research affairs to which KIMEP may become a

party provided such acts are authorized by the President and/or by the Executive Committee of KIMEP

## **5.2 Associate Vice President of Academic Affairs**

The Associate Vice President of Academic Affairs (AVPAA) shall assist and work with the Senior Vice President of Academic Affairs (SVPAA) in all academic planning, policy and management issues. The AVPAA reports to the SVPAA. However, the person in this position shall act as the chief academic officer of KIMEP in the absence of the SVPAA and report to the President. The person shall serve on committees as nominated by the SVPAA and the President including Quality Assurance, Accreditation and Academic and Research Affairs. In particular, the responsibilities of the AVPAA shall include the following:

1. Assist the SVPAA in all day to day academic affairs of KIMEP
2. Administer and monitor academic quality assurance program
3. Academic budget planning
4. Faculty hiring, development and retention
5. Academic liaison to Colleges, Registrar and to other KIMEP community
6. Accreditation, Self Study and Strategic Planning issues
7. International Programs
8. Supervising Summer Sessions
9. Other special projects as assigned by SVPAA and/or by the President

In absence of the SVPAA, the Associate Vice President of Academic Affairs is authorized for and on behalf of KIMEP to perform such acts as normally performed by the Senior Vice President of Academic Affairs.

## **5.3 Director of Quality Assurance and Accreditation Affairs**

KIMEP is an internationally recognized institution of higher learning which offers North American style credit based graduate and undergraduate education in business and social sciences. All instructions are in English. Current student population is around 3,500 day time and around 1000 night time. Faculty members, around 200, come from around 35 different countries including USA, Canada and EU with western trained professionals leading the management. The institution, which has collaboration with 20 prominent universities worldwide, has applied for international accreditation with a leading American Accreditation Organization. It is now involved in developing institutional standards and quality that would satisfy the accreditation criteria.

The Director oversees and monitors the activities of quality assurance, accreditation, integrity and institutional standards affecting all units at KIMEP and serves as an auditor of institutional standards. The Director reports to the Senior Vice President of Academic Affairs. The Director coordinates the accreditation activities with external Accreditation

Agency, assists in the development of accreditation standards and serves as a point person for accreditation endeavors. The Director shall be a member of the Accreditation Steering and Strategic Planning Committees. In particular, the following tasks are entrusted with the Director:

1. To assist in the development of quality assurance and accreditation standards for all units
2. To plan, organize and monitor strategic presentations of all units
3. To lead Accreditation activities in collaboration with Deans, VPs and the President
4. To work with unit quality assurance committees and accreditation steering committee to ensure that academic and institutional standards, integrity and processes are being maintained
5. Assist KIMEP and all its units with Self Assessment and Self Studies
6. Work with various units to address the areas of weaknesses and threats
7. To work closely with institutional research group and Alumni Relation Divisions to gauge the Public, Students and Alumni opinion about academic programs.

#### **5.4 Deans of Colleges (Academic Deans)**

The Dean is the chief academic officer of the entire college and reports to the Senior Vice President of Academic Affairs. The dean gives the overall leadership and direction to all academic programs and matters within the college. The Dean chairs the “College Council” where unified policies are made for the entire college.

The Dean is expected to exercise vision, ethical leadership, and advocacy in academic affairs, research and scholarly activities, and curricular matters in the College, placing emphasis on the continuing development of the finest educational program possible. He/she is required to lead the department chairs/program directors and faculty in effort to develop and enhance funding for the support of the College's academic program and research activities. The Dean is responsible for management of the fiscal and personnel resources of the College, recruitment, evaluation and retention of a well-qualified faculty and staff, and development of effective student recruitment and retention programs in the College.

The Dean will take active part in the formation and works of Council's working committees, and in the works of KIMEP Council. The Dean will initiate and oversee research activities of the faculty members in cooperation with departments. The Dean represents the college in any internal or external events. The Dean initiates external academic collaboration, faculty exchange and joint programs on behalf of the college. The dean may be assigned any other activity by the Senior Vice President of Academic Affairs or by the President of KIMEP. The Dean reports to the Senior Vice President of Academic Affairs.

1. Conducting the business of the “College Council”

2. Faculty management including hiring, promotion, arrangement of sabbatical and other forms of leave, salary increases, assignment and reassignment of academic and administrative duties, leadership in planning the development of College, encouraging and facilitating research and scholarship by colleagues, curriculum development, and innovation in teaching and learning, resolution of grievances and disciplinary problems
3. General oversight of staff-student, and staff-support staff relation within College
4. Administrative and budgetary duties, including the allocation of physical resources and preparation of the College budget, office management of the non-academic staff
5. Submission of relevant reports to the Senior Vice President of Academic Affairs
6. Preparation and submission of annual report on the performance of individual faculty to the Senior Vice President of Academic Affairs
7. Administration of College Research Funds
8. Representational functions within KIMEP and its various other departments, units and the faculty Councils

**Term of office:** Normal term of the office for a Dean is for two years which is renewable for another term of two years. Appointment and dismissal from this position will be exercised by the authority of the President.

#### **5.4.1 Dean of the College of Continuing Education**

The College of Continuing Education serves as KIMEP'S external mode of learning. It has been created to provide the business oriented people of Central Asian Region an opportunity to study and learn while working at the same time. It consists of five major divisions: Certificate and Open enrolments; Executive Training and Education; Distance Learning; American Management Association Programs; Advanced Management Programs; Career Support programs. In addition, it collaborates with Bang College of Business at KIMEP to administer ExMBA and MIB programs.

The dean is the chief academic officer of the college and is responsible for overall leadership and direction. The dean reports to the Senior Vice President of Academic Affairs, and works closely with other academic deans for successful implementation of the programs. The dean is a member of the KIMEP Executive Committee and the KIMEP Council. The dean may have limited teaching responsibilities. In particular, the following is expected of the dean:

1. Run day to day administration of the college
2. Supervise and manage faculty and staff
3. Faculty and staff hiring, promotion and retention
4. Budget planning
5. Academic and training program planning

6. Develop effective corporate connections and links
7. Fund raising
8. Joint collaborative programs with corporate and business world
9. Represent KIMEP and the college at internal and external events
10. Quality assurance and accreditation matters

### **5.5 Dean of Research**

The dean will be responsible for developing and implementing short and long-term research policies for KIMEP. He/She will work in close collaboration with academic departments for coordinating and monitoring faculty research both in fundamental and applied fields. The Dean may be a faculty member with limited teaching responsibilities. The Dean reports to the Vice President of Research, or in his/her absence, to the Senior Vice President of Academic Affairs. In particular, the responsibilities will include the following:

1. Assess the intellectual property in terms of research and expertise
2. Develop policies for research and innovation
3. Develop processes for developing and managing faculty research
4. Integrate academic research with project and consulting activities through KIMEP Research Center
5. Integrate research with faculty workload
6. Develop reward policies for research and innovation
7. Measure and monitor impact of research and innovative work on teaching methods and materials
8. Develop joint research programs with national and international institutions
9. Develop budget for overall research projects at KIMEP
10. Solicit sponsorships and external funding for the research

**Term of office:** Normal term of the office is for two years, which is renewable for another term of two years. Appointment and dismissal from this position will be exercised by the authority of the President giving a notice of two weeks.

### **5.6 Associate Deans**

The associate dean will assist the dean in all matters of academic and administrative activities, and will represent him officially during the dean's absence. The associate dean reports to the dean.

The associate dean will ensure that college Admission, Registration and Examination Policies are properly followed and implemented. In this regard, the associate dean will closely work with the dean of student affairs. In addition, the curriculum and learning of the college may entirely become the responsibility of the associate dean after agreement with the dean. In particular, the associate dean will have the following functions:

1. Admission and registration matters for the college
2. Entrance examinations for the college
3. Curriculum and learning
4. Withdrawal
5. Transfer between programs
6. Withdrawal from college
7. Representing dean in internal and external events
8. Monitoring graduation requirements
9. Academic disqualification

The associate dean will discuss and confer with the dean, and keep the dean informed of the developments in any of the above matters. The dean, in turn, will keep the associate dean informed of the development and changes in studies or policy matters that affects the college.

All official documents must be approved and signed by the Dean, and in his absence, by the Associate Dean.

## **5.7 Chairs**

A Chair reports to the Dean of the College. The Chair is responsible for running day-to-day administrative and academic affairs of the department. In particular, the functions of a Chair will include the following:

1. Faculty management including hiring, promotion, arrangement of sabbatical and other forms of leave, salary increases, assignment and reassignment of academic and administrative duties, leadership in planning the development of the department, encouraging and facilitating research and scholarship by colleagues, curriculum development, and innovation in teaching and learning, resolution of grievances and disciplinary problems
2. General oversight of staff-student, and staff-support staff relation within the department
3. Administrative and budgetary duties, including the allocation of physical resources and preparation of the departmental budget, office management of the non-academic staff
4. Submission of relevant reports to the concerned Deans
5. Preparation and submission of annual report on the performance of individual faculty to the Deans (one copy each).
6. Administration of departmental research funds
7. Representational functions within KIMEP and its various other departments ,units and the faculty Councils

## 5.8 Associate Chairs

An associate chair reports to the chair. The associate shall assist the chair in all matters of departmental administration. The job description of an associate chair shall be mutually agreed between the candidate, chair and the dean.

**Conditions of appointment and terms of office:** The departmental chair and associate chair who must hold full time faculty ranks are to be elected (in a single ticket) by the full time faculty of the concerned department. The normal term of the office for an elected chair and for an associate chair is for two years. A chair and an associate chair cannot serve more than two elected terms, each two years of duration. An election commission consisting of the college dean, a member of the administration and senior faculty members from allied departments within the college shall conduct and monitor the election. The chair of the commission shall report the outcome in writing to the SVPAA. The SVPAA after consultation with the President shall issue a letter of appointment upholding the outcome of the election.

When such an election is not possible for any reason, an interim chair shall be appointed by the president at the recommendation of the SVPAA and the college dean. The interim associate chair shall be appointed by the SVPAA at the recommendation of the chair and the college dean. The interim chair and the interim associate chair shall have the same function, rights and privilege as the elected chairs until such time they are elected by a department.

## 5.9 Program Directors

Program Directors at the Bang College of Business report to the Dean. Program Directors at the College of Social Sciences report to the departmental Chairs. The directors are responsible for the overall direction, supervision and quality of the program. In particular the directors are responsible for:

1. Program curriculum planning and development
2. Quality assurance and high academic standards of the program in all respects including student admission & enrolment
3. Entrance Tests for the program
4. Monitor Program outcome and effectiveness
5. Monitor study progress of the students in the program
6. Foster a research culture in the faculty and students involved in the program
7. Coordinate program research activities and holding regular research seminars
8. Setting up thesis committees
9. Faculty planning for the program
10. Coordinate the activities of the advisors for students in the program
11. Promotion and Public Relation related to the program
12. Program budget

The Director shall be assisted by the faculty members involved in graduate teaching in all respects as mentioned above.

### **5.10 College Manager**

The college manager manages the day-to-day administrative issues of the college under the direction of the Dean and Associate Dean. The manager reports to the Dean.

The manager assists the college in interdepartmental communications within the college and in communications with other units at KIMEP level. The manager is a troubleshooter, bringing both faculty and student problems to the attention of the Dean. In particular, the manager will have the following job responsibilities:

1. To act as the secretary of the college council, organize meetings of the college council, take minutes and maintain records, archives and files
2. To handle all the logistics issues for the College and its departments. This includes technical and office supplies provision.
3. To receive new faculty members at the airport and to work closely with housing department for accommodation.
4. To help new faculty members adapt to KIMEP by taking care of such matters as registration with the Visa Coordinator, the Computer Center (to create email accounts), the Library (to get a Library card), etc.
5. To work closely with Library in the procurement of text books
6. To organize orientation sessions for the new faculty and students within the college
7. To communicate with other academic and non-academic departments, like office of administration, registrar, library etc when needed.
8. To keep records of faculty hiring, dismissal and follow up.
9. To keep records of faculty, staff evolution and employment contracts
10. To work closely with HR division of KIMEP
11. To act as a public relation officer for the college
12. To assist in the organization of seminars, roundtables and workshops on behalf of the college

## **SECTION VI: Procedures for Establishing New Academic Programs or Restructuring Existing Ones**

### **Preamble**

New programs or modification to existing programs may be introduced for many 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. On the other hand, increased resources may make it possible to introduce programs previously unavailable. Sadly, decreased resources may dictate the elimination of some courses or programs, and the restructuring of others.

The criteria for assessing proposals for new programs should ensure:

that the program is consistent with the principles, mission and priorities of KIMEP

that the program is of high academic quality

that there is a perceived interest in and demand for the program

that sufficient resources can be made available to support the program

### **6.1 Procedures**

#### **6.1.1 Origins**

While the initiative, impetus and planning of an academic program normally is the primary responsibility of the department/unit that will implement it, the conceptualization of a program may come from any of a number of sources: for instance, from the President, SVPAA, Deans, Chairs, faculty members, or from some agency external to KIMEP.

#### **6.1.2 Planning**

Whatever the origin of the idea, the detailed planning process must usually take place in the department/unit. This does not, of course, preclude consultation with and assistance from other sources, including Deans and members of the administration. Offices of the Dean, the SVPAA or the President may suggest a new or modified program of their own. In this case, the proposal must be forwarded to the department/unit with written instructions for consideration.

#### **6.1.3 Approval Process**

In general, any plan for a proposed new program or for restructuring an existing program must first be approved by the department/unit that will have responsibility for its administration. The proposal must then be submitted to the College Academic Planning & Curriculum Committee (APC) through the Dean. The APC will submit its report to the Dean. If satisfied, the Dean will submit the proposal to the College Council for approval. If not satisfied, the Dean will send it back to the APC for further consideration.

After a consensus is reached at the College level, the dean will send the plan to the Senior Vice President of Academic Affairs with a cover letter that explains the justification of the proposal. The SVPAA will discuss the plan with the President. Two options may be followed:

- a) In the event that no objections are raised by the President or SVPAA, and that resources are available to support the program, the plan will be submitted to the KIMEP Council (or alternatively to the KIMEP Council Executive Committee) for final approval.
- b) In the event that serious concerns are raised either by the President or by the members of the President's Executive Committee about the importance, suitability and viability of the program, the plan will be referred to the KIMEP Academic Affairs and Education Policy Committee (or in its absence to the College APC) for further consideration. It will be then resubmitted to the SVPAA for further discussions with the President. The decision of the President insofar as financial implications are concerned shall be final.

## **SECTION VII: Academic Year, Vacations and Leave of Absence**

### **7.1 Academic Year**

KIMEP's academic year runs from August 15 to August 14 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 shall be 16 weeks including one week of mid-semester break. The summer semester may be further divided into two: Summer 1 (6 weeks) and Summer 2 (6 weeks).

Faculty members are expected to complete their teaching workload, as set out in section 3.1 of this Code of Practice, during the two main semesters (Fall and Spring). A faculty member who falls short of these requirements shall be required to teach courses in summer without additional compensation.

### **7.2 Break Periods**

#### **7.2.1 Mid-Semester breaks**

Mid-semester breaks are rest periods for students and faculty members. During these breaks, faculty members are not required to be in their offices, and they can travel within Kazakhstan or overseas without formal KIMEP approval. However, for overseas travel, a faculty member is required to fill a form indicating planned dates of departure and arrival and file it with the department office. Upon return, the faculty member must notify the department of his/her actual date of arrival.

#### **7.2.1 End of Fall semester break**

The end of Fall semester (e.g. December 23 – January 5) is a paid break/rest period. Faculty members and instructors are not required to be in their offices or undertake any KIMEP duties during this period. No formal approval for travel inside or outside Kazakhstan is needed. However, faculty members and instructors wishing to travel overseas must fill out a form giving contact information at their destination and file this form with their Department. Upon return, a faculty member must report the date of arrival to the department using the same form. All faculty members and instructors are required to report to work at least one week before the beginning of the Spring semester (i.e., by January 6 or by the following Monday if January 6 falls on a weekend). Any violations must be reported by the department to the Human Resources Department.

### **7.3 Annual Vacation**

#### **7.3.1 Full time faculty members and instructors**

Full time faculty members and instructors are free to leave for annual vacation (which may also include an extended period for research, class preparations, etc.) beginning the day after the graduation ceremony. All faculty members must return to work by August 15. Attendance at the graduation ceremony is mandatory unless permission for absence is granted by the Chair and the Dean for any extraordinary reason(s).

#### **7.3.2 Part time, adjunct and visiting faculty members**

Part time, adjunct and visiting faculty members are not entitled to paid or unpaid annual vacation. Such faculty members are compensated on a monthly basis within the contractual period.

### **7.4 Leave of Absence**

A faculty member can take a leave of absence for different reasons including higher studies overseas, health and family reasons, or personal reasons. Prior approval of the concerned Chair, the Dean and the Senior Vice President of Academic Affairs must be obtained. A faculty member must not begin leave unless final approval is obtained from the Senior Vice President of Academic Affairs. It is the faculty member's responsibility to make sure that final approval has been given. Failure to abide by this procedure will result in appropriate disciplinary action.

A faculty member shall not be allowed a leave of absence during the final examination period. Faculty members are not allowed to change the dates of examinations without formal approval of the Chair and the Dean. Leave can only be considered after all grades are submitted, accepted and the appeal period has ended. Failure to abide by this policy will result in appropriate disciplinary action.

A leave of absence can be paid or unpaid depending on the terms and conditions of the individual's contractual agreement.

Under extraordinary circumstances beyond the control of a faculty member, exceptions to this policy can be made upon simultaneous approval of the Chair, the Dean and the SVPA.

## **7.5 Sabbatical**

After 7 years of service at KIMEP, a faculty member will have the right to take a sabbatical paid year. During this year he/she should improve his/her professional abilities through:

teaching and research activities in other institutions of higher learning  
research activities with a research organization  
activities with government units, non-governmental organizations, or  
business/professional organizations

Requests for a sabbatical year should be formulated with approval of the Chair of the concerned department six months in advance. The request will then be discussed and approved in the College Council. The final approval of the President of KIMEP is needed for each case.

A faculty member granted a sabbatical year has an obligation to work for KIMEP for three more academic years after the sabbatical year is taken. Otherwise he/she will be obliged to reimburse KIMEP for the full amount of salary paid during the sabbatical period.

## **SECTION VIII: Quality Assurance**

### **Preamble**

The principal objective of academic Quality Assurance is to demonstrate that the education offered at KIMEP is on par with the highest standards of education anywhere. This must be demonstrated factually with statistical information that illustrates the high level of quality of education offered by KIMEP. Quality assurance may relate to a program, a unit or the institution as a whole. In each case, quality assurance is all of those attitudes, objects, actions and procedures which, together with appropriate monitoring and control activities, ensure that appropriate academic standards are being maintained and enhanced.

Self-assessment and internal quality reviews are important components of quality assurance. Such activities continually monitor the progress and identify potential weaknesses and strengths so that these points can be addressed and positive changes can be implemented. As a result of these self-evaluations, changes are implemented in administrative procedures which advance the positive development of the Institute.

Key areas of quality assurance are:

- Curriculum design and development
- Building a qualified and motivated faculty
- Quality of teaching
- Program delivery
- Quality of management
- Faculty appraisal
- Resources to support the program
- Learning materials including text books, journals, etc. to support the program
- Program outcomes in term of stated mission and goals
- Student Assessment
- Program evaluation
- Compatibility with similar programs at other institutions

### **8.1 Objectives**

The aim of the quality assurance process is to assess, using a process of informed judgment, the quality and suitability of academic programs, delivery systems, learning models, student evaluations of faculty members, and research directions & output. In particular, this includes consideration of:

- the goals of academic programs
- the curriculum and content of courses in line with the mission of the program
- the quality of text books and other learning materials

the quality of teaching  
the quality of student assessment arrangements including examinations, grading, etc.  
the quality of student advising  
program outcomes and effectiveness  
faculty involvement in research  
service to the institution, the profession and the community

## **8.2 Purpose**

The purposes of a quality assurance review are to:

Provide an opportunity for the entire department, college and the Institute as a whole to take stock of their situation  
Carry out a comprehensive strategic review of its academic programs  
Provide an opportunity for unbiased and critical self-examination  
Provide a better understanding of the quality of education

KIMEP's internal quality assurance reviews will provide a basis for the eventual international accreditation of KIMEP's academic programs.

## **8.3 Structure of Quality Assurance**

The major components of KIMEP's QA arrangements shall include the following:

Departmental Quality Assurance Committee  
KIMEP Quality Assurance Committee  
External consultants  
Comments from students  
Comments from external communities  
Interviews with alumni and employers

### **8.3.1 Quality Assurance (QA) at department level**

The departmental QA Committee shall be formed from the teaching faculty, and include senior faculty members. The main task of the committee shall be to monitor the quality assurance activities at the department in line with stated objectives. It will conduct a periodic of the strengths, weakness, opportunities and threats (SWOT) faced by the department's programs, and will oversee and monitor the QA progress in the department. This committee shall formulate a "Self Study Report" and submit it to the Chair. The Committee reports to the Chair.

The departmental committee together with the KIMEP QA Committee will:

Define the indicators of quality -- that is, the criteria against which it wishes to be judged - including the criteria for academic programs indicated in section 8.4.

Provide the evidence on which judgments about its quality will be based

Evaluate itself in light of the above standards and evidence, and indicate how it contributes to meeting KIMEP's objectives as defined in the mission statement.

The self-study is the most significant and valuable phase of a quality assurance review. It is, therefore, vital that all faculty, staff and student representatives be involved in the preparation of this study. Responsibility for ensuring that this occurs rests with the Chair or unit head.

### **8.3.2 KIMEP Quality Assurance Committee**

This committee will consist of the Senior Vice President of Academic Affairs, Deans, Associate Vice President of Academic Affairs (or the Director of Quality Assurance) and one senior faculty member from each College. The Committee shall devise criteria for QA and shall act as QA auditors for the entire Institute. It will receive the "Self Study Report" from each department. It will study, examine and evaluate the reports, and then provide its assessments/feedback to the departmental QA committee. The Committee reports to the President.

The reports of this committee are based on the self-studies of each department/unit, the appraisal by the external consultant(s), comments from the broader KIMEP community, and such other information as is available. Input from the external consultant(s) forms a valuable part of the report, but this input must be interpreted by the Committee in light of other information available. The interpretation of any difference of opinion between the departmental self study and the report of the consultant is the responsibility of this Committee.

### **8.3.3 External Consultants**

The role of an external consultant is to provide an informed, dispassionate, and critical judgment of the quality of an academic program(s) or the Institute as a whole from the perspective of an outside observer. The President of KIMEP shall decide if and when such a consultant is needed.

## **8.4 Criteria for Quality Assurance**

Quality Assurance Committees shall use the following criteria in assessing academic programs:

**1. Program Objectives**

The program should be consistent with KIMEP's mission and with the goals of the academic unit.

**2. Admission requirements**

The admission requirement should be appropriate for the program's educational objectives and should ensure the appropriate quality of student applicants. Indicators of student demand and projected enrolment levels, and of the quality of students must be considered.

**3. Curriculum**

The structure and curriculum of the program should be appropriate for its educational objectives.

**4. Teaching**

The mode of delivery and standards of instruction should be appropriate and must reflect the stated goals of the unit.

**5. Evaluation of student progress**

The methods used for the evaluation of student progress should be appropriate to the goals of the program.

**6. Human resources**

It should be demonstrated that the quality and experience of the faculty is sufficient to meet the demands of the program. Where appropriate, the availability of support staff and teaching assistants should be considered.

**7. Physical resources**

A summary of program-specific resources should be provided, such as computer laboratories, access to computers and on-line facilities, library facilities and information resources.

**8. Financial resources**

There should be evidence of sufficient resources to introduce and maintain the program for a reasonable period of time. This should include consideration of any additional funds from internal and/or external sources. The possible financial impact of the programs on other programs, within and outside the unit, should be considered.

**9. Program outcomes**

In assessing outcomes it is important to keep in mind that, by its nature, the most important aspect of higher education is the aim of producing an educated human being. The characteristics of such a person are, of course, essential in varying degrees to a variety of occupations as well as to being an effective member of society. Within this broader context it is also appropriate to consider more specific indicators of program outcomes including: graduation rate; length of studies; job placement; scholarships and awards for students; and the results of professional certification or licensing examinations.

## **8.5 Self Study/ Self Assessment**

### **Preamble**

The process of self study is a key to maintaining academic standards and quality because it provides departments and the Institute as a whole the opportunity to evaluate themselves against their stated mission and objectives. Through the process of self study, the department and the Institute mobilize various members of their community to reflect on the purposes and effectiveness of their programs and the activities of the unit as a whole, examine its strengths and weaknesses, and where problems or opportunities are identified, begin to work toward their solution.

### **8.5.1 Procedure for Self Studies**

#### **1. Administrative Support**

Academic responsibility for the preparation of the self-study and other aspects of the quality assurance process rests with academic officers of KIMEP, including the department Chair/Director, the Dean and the SVPAA/AVPAA. Departments should anticipate that the review process will require an administrative commitment from the department as well as from central management. Liaison with resources of the central administration will be arranged through the Office of Academic Affairs.

#### **2. Preparation of the Self Study Report by the department**

The self study forms the basis of the quality assurance process and should involve all faculty members of the department/unit, student representatives and staff in a frank, objective and balanced appraisal of SWOT. The self study report is the primary document on which the review is based and thus it is important that it should be well organized, clearly written and concise. Section 8.5.2 contains guidelines for the information that should be included in a self study report. In drafting the self-study report the criteria against which it will be assessed, including those listed in section 8.4, should be borne in mind.

#### **3. Report of the KIMEP Quality Assurance Committee**

Based on the information gained from the self-study, interviews, meetings, and consultant's assessments, the KIMEP QA Committee will prepare its own report. Copies will be distributed to the President, Vice Presidents, Deans and Chairs/Directors. The Dean will ask the Chairs/Directors to circulate the report to the department/unit faculty and draft a response in consultation with the Dean. The response will include comment on factual inaccuracies if there are any, actions to be taken, and the timetable for implementation. As part of this process, the Dean will consult with the members of the Committee, the President, the SVPAA/AVPAA and others as appropriate. The Dean will submit the response to the Chair of the Committee.

The committee will study the response, consult with the Dean and the Chairs, and then prepare its final report to the President. This report will include:

- A summary of the SWOT analysis
- A statement of the action to be taken
- The time table for implementation of the recommendations
- The individuals responsible for follow-up, who will normally be the Dean and the SVPAA/AVPAA.

#### **4. Implementing Recommendations**

Information gained from self studies and QA reviews and the resulting recommendations will be used by the departments, colleges and KIMEP as a whole to strengthen and facilitate the decision making process of the institution and to address the academic objectives outlined above. Reports will be shared with other committees of the KIMEP Council such as Accreditation and Strategic Planning.

#### **8.5.2 Self Study (SWOT) contents**

The following items offer a guide to the information that should be included in the self-study.

##### **1. Background information on KIMEP as a whole**

Provide appropriate background information on KIMEP as a whole to enable reviewers to make comparative assessment of teaching, learning, research and scholarly activities in the light of the resources available

##### **2. General Description of the academic unit and its programs**

Very brief description of the unit and its academic programs including: history, structure, governance; relationship with other programs or units; indicators of quality against which the program and the unit wish to be judged, together with the justification of these standards; national and international programs in the same fields that offer useful reference points for comparison.

##### **3. Program objectives**

A brief statement of program objectives including its relevance to the nation

**4. Resources**

Information on the program's annual budget, in a form compatible with KIMEP's Annual Financial Report.

Information on non-academic staff and sources of financial support

Comments on the adequacy of physical facilities and space including offices, classrooms, etc.

Comment on adequacy of equipment and services

Library resources, including text books, reference books, services and expenditures

Computer facilities

**5. Faculty**

Number of faculty and their qualifications

Full time and part time faculty members

Age profile of the faculty

Summary of faculty turnover in the last 2 years

**6. Students**

Departmental admission policies

The quality of current and incoming students using appropriate indicators as available.

A demographic profile of undergraduate and graduate students

Current enrolment objectives for undergraduate and graduate students including any anticipated changes; any restrictions on enrolment; and indicators of student demand

Program enrolments and graduations (F/T and P/T) since last review.

Procedures by which students participate in decision making processes including: participation in committees, the unit's Council and contributions to teaching evaluation.

Student's comments on their learning experience based on exit surveys.

Scholarships and other awards.

Performance of students in their examinations

Placement of students after graduation

**7. Pertinent academic regulations (other than those stated in the Catalog)**

**8. Admission policies (other than those stated in the Catalog)**

**9. Teaching**

Summary of distinctive aspects of formal and informal teaching activities, including a description of teaching and curriculum innovations, with evidence of resulting improvement in the quality of learning.

Workload of faculty members including explanation of variation of loads.

Comments on student-faculty ratios and reasons for variation in class size, including need for sectioned and tutorial classes.

Service teaching undertaken by the unit, including enrolment by students from other units in regular courses.

Description of any initiatives by the unit in training and development of teaching faculty in instructional methods, such as training courses, seminars and workshops on teaching and learning issues, or mentoring schemes for new faculty members

Methods of evaluating students including continuous assessment schemes

Formal examinations

Teaching evaluations including core questions, exit surveys and other assessments where available.

### **10. Research**

A brief description of research in the department/unit including areas of distinctive or special strength, with examples of recent accomplishments and the impact of research on teaching and scholarship.

Internal and external research funding if any

Collaboration with the KIMEP Center for Research and Development

Consulting works undertaken with the Center for Research and Development or with external bodies

Number of faculty involved in research or research oriented studies

Summary of numbers of research publications completed or in progress

### **11. Service to the community**

A summary of the contributions of the program or unit to broader scholarly, professional, and other external communities including: seminars, workshops and conferences that were sponsored or supported by the unit

### **12. Self evaluation**

An overall review of the program and the unit in light of information obtained during the self study, with respect to the standards identified above, identifying areas of strength and weaknesses and areas in which changes are required.

### **13. Other information**

Other relevant information not mentioned above.

## **SECTION IX: Policies and Procedures on:**

Teaching assignments for administrative staff  
Teaching assignments for Center of Research and Development staff  
Cross-Teaching assignments for regular teaching faculty  
Internal hiring

### **9.1 Teaching Assignments for Administrative and Support Staff**

Administrative and support staff are those persons whose primary tasks at KIMEP are non-academic in nature and who are not member of the regular teaching faculty. Teaching assignments and joint appointments for such staff may be negotiated at the time of appointment. Negotiations may also take place after the initial appointment if and when such needs arise. As a matter of policy, the following rules will govern the teaching assignments of such staff:

9.1.1 No administrative staff member will be assigned more than one course (3 hours) per semester (day or evening) to teach. When a need arises for such an assignment, the Dean will make formal request to the Senior Vice President of Academic Affairs (SVPAA). The SVPAA, with the approval of the supervisor of the employee and the President of KIMEP, will arrange for the assignment.

9.1.2 KIMEP will pay additional compensation, according to its current wages policy, under the following conditions:

- a) If the partial teaching assignment is agreed upon and stated in the employment contract of the employee as a part of his/her overall duties, no additional compensation shall be paid. In this case, teaching can take place during day or evening sessions.
- b) If the partial teaching assignment is not stated in the employment contract, KIMEP will pay additional compensation. In this case teaching must take place after normal working hours; i.e., after 6 p.m. The supervisor of the employee must certify his/her full compliance with his/her regular contractual obligations. If such certification is not obtained, the employee may be asked to teach without additional compensation after 6 p.m.

### **9.2 Teaching Assignments for Center for Research and Development Staff**

Staff of the Center for Research and Development (CRD) are not to be hired by any College/Department for part-time or full time teaching without first referring the matter to the Director of CRD for clearance. The Director will refer each such case to the SVPAA for consideration.

KIMEP recognizes that CRD research assistants and fellows may be asked to assist departments and colleges in teaching from time to time. If and when such situation arises, the Dean will make a formal request to the Director of CRD as mentioned above.

KIMEP will pay additional compensation, according to its current wages policy, under the following conditions:

- if teaching takes place after normal working hours; i.e., after 6 p.m.
- if the Director of CRD certifies the staff member's full compliance with regular contractual obligations and recommends additional compensation for day time teaching

### **9.3 Cross Teaching Assignments for Regular Teaching Faculty**

Any cross teaching assignments between KIMEP colleges and departments shall be governed by the stipulations and procedures of section 3.3. Such assignments must be viewed as a part of the faculty member's overall obligations to KIMEP under the terms of the employment contract. Faculty members will be required to engage in such cross teaching if a need arises. In each case, the Dean's approval must be obtained and the procedures stated in section 3.3 shall be strictly followed. Since teaching hours at KIMEP involve both day and evening sessions without any differentiation, no additional compensation shall be made for cross teaching whether it involved day or evening teaching.

A faculty member or administrative employee is not allowed to teach two courses concurrently in a mini or full semester with the College of Continuing Education.

KIMEP will pay additional compensation, according to its current wages policy, if the Dean of the faculty member's college certifies that the faculty member has complied fully with the obligations of the regular employment contract.

### **9.4 Internal Hiring**

Any faculty member or administrative staff member who would like to take up a job with another unit, department or college at KIMEP must first resign from his/her current position giving appropriate notice. Once the resignation is accepted in good standing, the employee may apply to other units. In such cases the employee's candidacy shall be considered on a competitive basis against other prospective candidates. No promise or guarantee of employment must be given in advance in any such case.

## **SECTION X: Policies and Procedures for Faculty Hiring**

### **Preamble**

Faculty hiring must be done through a departmental Search Committee. The Committee should be comprised of Program Directors and other senior faculty who are deeply familiar with the requirements of the department. This Committee sends recommendations to the Chair. Once a consensus is reached, the Chair sends the departmental recommendations to the Dean. The Dean consolidates the requirements within the confines of the College mission and budget. Once a consensus is reached, the Dean sends the requirements to the Senior Vice President of Academic Affairs (SVPAA). The SVPAA prepares a comprehensive plan for all colleges within the confines of KIMEP budget. The SVPAA forwards the plan to the President. Once approved by the President, advertisements will be placed in local and international newspapers.

### **Timetable**

#### **September 1-7**

Each Department presents a strategic plan in which the department outlines and justifies the anticipated faculty needs for the following academic year.

#### **September 8- 15**

Departmental requirements are consolidated by the Deans of the Colleges. The consolidated hiring plan is presented to the Senior Vice President of Academic Affairs.

#### **September 16- 20**

The SVPAA will prepare a comprehensive faculty hiring plan for KIMEP taking into account the needs of each college. The plan will be forwarded by the SVPAA to the President of KIMEP.

#### **September 20 – 25**

Upon the President's approval of the plan, the SVPAA will send the plan back to the Deans. The Dean in collaboration with the Chairs will determine the wording for the advertisement. Advertisement requirements are sent back to the SVPAA who will arrange for their publication through the Marketing Office.

#### **October 30**

Deadline for receiving applications for January hires.

#### **December 15**

Deadline for receiving applications for August hires.

**January 5 - 15**

Departmental Search Committees evaluate applications for August hires and submit a shortlist of preferred candidates to the Dean.

The Search Committees will carry out the following tasks:

1. Eliminate applicants who do not meet the selection criteria
2. Contact at least two referees of those applicants who meet the criteria
3. Conduct interviews and discussions with preferred candidates
4. Based on the outcome of steps 1-3, submit a shortlist to the Dean(s). The shortlist will include: the number of positions the department needs to fill, names of the preferred candidates, their qualifications, brief descriptions of their work experience, recommended salary ranges as per current KIMEP guidelines for each faculty rank, and the proposed contract period. The Committee's list will also include a separate waiting list (clearly designated as such) in order of preference. The waiting list will have double the number of names needed to fill the vacant positions.

**January 16 - 23**

1. The Dean revises the list with the Chairs, and then forwards it to the SVPAA with her/his remarks.
2. The SVPAA will meet with the President to get final approval insofar as financial matters are concerned. Once approved by the President, the SVPAA sends the list back to the Deans.

**January 24 – February 1**

The Deans write formal letters of offer and send out contracts (electronically) to those who are accepted. Signed contracts are then forwarded to the SVPAA for signature by February 25.

**February 25 - March 1**

The SVPAA sends the names and personal details of all applicants who have signed contracts to the Visa Office. The Visa Office gets in touch with the candidates and begins the process of applying for entry visas and work permits.

**March 15**

Departments communicate with those applicants who have not been accepted and inform them that their applications are not being considered any further.

**May 30**

Chairs review the progress of hiring and get in touch with selected candidates to reconfirm their appointments. Depending on the outcome, the waiting list may be activated immediately.

### **Early August**

Chairs reconfirm candidates' intentions once again. Anyone who says they are coming late is immediately taken out of consideration and notified. At this stage the waiting list may be activated again. If no suitable candidates are available, then current faculty or local hires will need to cover the required teaching load.

### **SECTION XI: Faculty Orientation Policy**

The faculty orientation process involves several stages. The first stage is communication with new faculty members before arrival. This includes such issues as transmitting information on KIMEP and Almaty to potential new hires, assistance in acquiring a visa, and other logistical issues. The second stage occurs on and immediately after arrival of the new faculty members. A KIMEP-wide committee is established to develop, schedule and oversee activities relating to the orientation of newly-arriving faculty, though most of the actual activities will be the responsibility of the department and college.

### **Before Arrival**

A Committee on Orientation is established under the direction of the Associate Vice President of Academic Affairs. The members of this committee are the College Managers, the Visa Coordinator, the Director of Administration and the AVPAA. They are responsible for effective communication with departmental chairs who are hiring new faculty, ensuring safe transit of arriving faculty members from the airport to temporary lodging, and administrative and social orientation for all new arrivals.

The chair of the department is the key contact person for all newly hired faculty. This will ensure continuity in communications and reduce the potential for misunderstanding. The chair is responsible for determining when the candidate will arrive (and communicating that information to the Director of Off-Campus Housing and Faculty Housing), addressing any special needs he/she might have, explaining the itinerary upon arrival, informing the Committee on Orientation, and designating the person who will meet the candidate upon arrival (normally the College Manager).

### **The Arrival**

The most important step is arrival. The Director of Housing and the College Manager are assigned to meet new faculty at the airport and transport them to their hotel. The college manager is a familiar face who understands the disorientating affects of long distance travel and is able to put the newly arriving faculty member at ease and to give them a sense of safety and security. The college manager escorts the newly arriving faculty member to the hotel or KIMEP apartment, ensure that they are adequately situated in their room, and arrange a time for escort to the appropriate department/unit the next morning.

The college manager or the executive assistant of the college Dean meets the faculty member next morning in the hotel or KIMEP apartment and escorts him/her to the

department. There is a pre-arranged meeting between the new faculty member and the department chair. Also present should be another faculty member who will serve as mentor to the new faculty member. This is the beginning of their professional and personal orientation to KIMEP and Almaty. The purpose of this meeting is to outline and review the responsibilities of the faculty member, arrange for a future meeting between the mentor and newly arrived faculty member, and any other relevant business that may ease the transition.

### **The Mentor's Role**

Each department will assign a mentor (usually a colleague, but possibly a student assistant) to act as a guide and trainer for a new faculty member. This person, preferably a person familiar with the university and Almaty, will take on the responsibility of acting as a troubleshooter, educating the newly arrived faculty member in KIMEP procedures/policies and in the more practical side of KIMEP (computer access, the L drive, email, office space, registration, student advising, contracts, etc.).

As an incentive to serve in this role, each department may choose to assign one faculty mentor for each three new faculty members with a reduction of his/her teaching load by three hours. This will ensure that the mentor is motivated to perform his/her role and has the time to devote to the newly arrived faculty. The mentor is expected to perform his/her official role for one semester.

### **Meeting the Management**

The week before classes, all new faculty members are assembled in a conference room to meet the management of KIMEP. This meeting is attended by the President, the SVPAA, the AVPAA, the VPAF, the VP of External Relations, Deans of the Colleges, the Dean of Student Affairs, the Human Resources Director, the Director of the Computer and Information Services Center, the KIMEP doctor and the Chief Financial Officer.

This meeting is the official orientation to KIMEP. The meeting begins with a general overview of the mission and goals of KIMEP. Each of the above listed people gives about a 5-10 minute overview of their role and function at KIMEP. The highlights of the Faculty Code of Practice are also presented. This is followed by a question and answer period.

This meeting is preceded or anteceded by one-on-one or small group meetings with the Deans of the Colleges and, preferably, a meeting with the VPAA and AVPAA. Thereafter, a department meeting is arranged and the new faculty is introduced to the faculty members.

## **Networking**

The final phase of the orientation is a social event where all faculty, staff, and administrative personnel are invited to attend. This is held within two weeks of the beginning of the fall semester, preferably the first weekend. The setting is informal with a potluck dinner/lunch/buffet and a party afterwards. This is normally held in the Student Center.

The purpose of such an event is to allow the new faculty member to meet others in our broader KIMEP community. This assists in the integration process and assures that none of our newly arrived faculty members feels isolated from the KIMEP community.

## **Understanding Almaty**

Another important part of the orientation is to allow newly arrived faculty the opportunity to learn about the city. For some, the adventure of living in a new city is a challenge they wish to experience as an individual or with friends. For others, however, living in a new city is intimidating and stressful. Within the first few weeks of arrival, KIMEP organizes a short tour of the immediate city surroundings to acclimate the new faculty member to the Almaty environment. This includes organized trips to mountain resorts, shopping malls and places of historical interest. KIMEP transportation services are utilized for these trips.

**SECTION XII: Employment Contract for Teaching Faculty**

**Employer:**

JSC “Kazakhstan Institute of Management, Economics and Strategic Research”, hereinafter called KIMEP and referred to as “Employer”, represented by its Senior Vice President of Academic Affairs, Dr. Habib Rahman, acting on the basis of Order #91 dated on November 21, 2005, on one hand

AND

**Employee (Faculty member):**

Name \_\_\_\_\_

Citizenship \_\_\_\_\_

Passport Number \_\_\_\_\_

Date of issue \_\_\_\_\_

Date of Expiration \_\_\_\_\_

hereinafter referred to as “Employee”, on the other hand

**WHEREBY IT IS AGREED AS FOLLOWS**

**ARTICLE 1: Subject**

The Employer agrees to hire the Employee in the position of:

**1.1 Rank, Status and Period of Agreement**

Academic Rank:

Status: FT Tenure Track ( ) FT Non-Tenure Track ( ) Visiting / Adjunct ( )  
Special Appointment ( ) PT ( )

Department \_\_\_\_\_

College / academic unit \_\_\_\_\_

For the period beginning \_\_\_\_\_ 200\_\_ and ending \_\_\_\_\_ 200\_\_

## **1.2 Definitions**

**Academic Ranks:** as defined in the Faculty Code of Practice (FCP)

**Status:** as defined in the FCP

**Faculty Classifications:** as defined in the FCP (e.g. Lecturer to full professor)

### **Full time faculty**

A full time faculty member is an individual who works on an annual basis with KIMEP in different activities. A full time faculty member is not permitted to perform any kind of employment, paid or unpaid, with an external organization unless prior approval is received from his/her Dean and the Senior Vice President of Academic Affairs. A full time faculty member may hold a Master's degree (in lecturer ranks) or a terminal degree (in professorial ranks). All initial faculty appointments at KIMEP are time specific. Lecturer positions are non-tenure track appointments and professorial appointments are tenure track. Indefinite tenure appointments can only be made after a faculty member has satisfied conditions for tenure as outlined in the Faculty Code of Practice (FCP) (Section II).

### **Part time, Visiting and Adjunct faculty (term specific)**

A part time or an adjunct faculty member is an individual who does not work on an annual basis, and who may or may not have his/her primary employment with an external organization. Such an appointment is for one semester, for specified dates and non-tenure track. These individuals, depending on their qualifications and experience, are entitled to hold similar academic ranks to their full time counterparts. No amount of renewals of such an appointment creates a right to a regular appointment or to a decision concerning tenure track or tenure.

For a visiting faculty such appointment that is non-tenure track can be for a period of up to one academic year.

### **Special Appointments**

Special appointments are awarded to those who possess unusual qualifications, but for whom none of the regular faculty ranks are appropriate. Such appointments can be full time or term specific.

## **1.3 Duties and Responsibilities**

The duties and responsibilities of the Employee are determined by the present Contract and by the stipulations of the Faculty Code of Practice (FCP). The stipulations of the FCP

are to be considered as an integral part of the present Contract. The Employee is advised to read the FCP carefully before signing this contract.

### **1.3.1 Teaching**

Teaching duties are governed by the Faculty Code of Practice (Section III, clause 3.1). The normal teaching requirement is 12 hours per week consisting of two to three different courses per semester, as determined by the department.

### **1.3.2 Research**

Employees are required to be engaged in research as per the Research Policy of KIMEP. Details of the policy including provisions for consulting work and teaching load reductions are stipulated in the FCP (Section III, clause 3.4.)

### **1.3.3 Academic Administration**

Employees are required to take part in academic administrative activities as determined by the department and/or the College as per the guidelines of the FCP.

### **1.3.4 Consulting Work**

KIMEP encourages its Employees to undertake consulting activities. Policies and procedures governing these activities as outlined in the FCP and the Research & Consulting Policies 2004 shall be enforced.

### **1.3.5 Other duties**

Other duties as may be required by a department, College or KIMEP within the framework of the FCP.

## **ARTICLE 2: Obligations of the Employee**

2.1 To conscientiously carry out the activities stipulated in Article 1 of the present Contract;

2.2 To produce original copies of his/her university diplomas and certificates upon joining;

2.3 To obey and enforce policies and regulations as are approved and published for and by KIMEP;

2.4 To comply with the Employer's disciplinary rules and standards of professional ethics;

2.4.1 In the event of a breach of such rules, to submit to such disciplinary procedures and/or measures as required by KIMEP policy;

- 2.5 To follow the directives of KIMEP authorities as long as such instructions do not extend beyond the terms set forth in the present Contract or the Employer's published guidelines;
- 2.6 Not to conclude contracts or agreements with other persons or organizations which might interfere in any manner with the performance of his/her duties described in Article 1 of the present contract or otherwise jeopardize the interests of the Institute, except as approved by his/her Dean and the Senior Vice President of Academic Affairs;
- 2.7 To give advance notice of any travel outside Almaty and Kazakhstan during working days if it affects work responsibilities. Such notification must be approved by the Senior Vice President of Academic Affairs before travel commences;
- 2.8 To abide by all established internal security protocols and fire safety rules and procedures;
- 2.9 To inform management about any situations which might threaten the safety of the Employer's property and/or other Employees;
- 2.1 Not to distribute information that is a commercial secret, or that may be defamatory towards the Employer;
- 2.11 To correctly use and be responsible for equipment entrusted to the Employee in the fulfillment of his/her duties;
  - 2.11.1 To take such security precautions as outlined by the Employer in the protection of any premises and equipment utilized by the Employee on behalf of the Employer.
- 2.12 Issues concerning intellectual property rights shall be regulated by the current legislation of the Republic of Kazakhstan and the provisions of the FCP.

### **ARTICLE 3: Obligations of the Employer**

- 3.1 To create the necessary conditions for the efficient performance of the duties and responsibilities of the Employee as outlined in Article 1 of the present Contract, and to maintain an acceptable work environment in accordance with the standards of KIMEP and the labor legislation of the Republic of Kazakhstan;
- 3.2 To make payment of salary once per month and wages on a timely basis to the best of the Employer's ability as reflected by the current economic situation of the Employer;
- 3.3 To pay compensation in accordance with the valid legislation of the Republic of Kazakhstan should the Employee suffer injury or other health problems resulting

from the performance of his/her duties and responsibilities as stated in Article 1 of the present Contract;

- 3.4 To pay the Kazakhstani visa fee according to the bill from the Kazakhstan Embassy;
- 3.5 To provide the Employee with limited medical services at the KIMEP Medical Center. Medical insurance is offered with full or partial KIMEP coverage of the insurance premium depending on the Employee's choice of insurance program;
- 3.6 To provide transportation of remains to the country of citizenship in case of the Employee's death during the term of the present Contract.

#### **ARTICLE 4: Annual Vacation**

- 4.1 A full-time faculty member or an instructor is entitled to an annual paid vacation including an extended period for research and teaching preparations from the day following the Graduation Ceremony (usually in the first week of June) until the 14<sup>th</sup> of August. All faculty members and instructors are required to report to work by the 15<sup>th</sup> of August unless otherwise permitted by KIMEP (ref: section 7.3.1 of the FCP for details).
  - 4.1.1 Vacations may be taken at other times upon approval of the departmental head, Dean of the College and Senior Vice President of Academic Affairs. However, vacation scheduling should not conflict with and/or interrupt the normal course of business of the Employee.
  - 4.1.2 Adjunct, visiting and part time faculty members are not entitled to paid vacation (see FCP section 7.3.2)
  - 4.1.3 A paid rest period at the end of the fall semester is allowed for full time faculty members, instructors and visiting professors who work on an annual basis (for details, refer to FCP section 7.2.1)
  - 4.1.5 Mid-Semester breaks are considered as a paid rest period for faculty members.

#### **ARTICLE 5: Compensation**

Full time faculty members and instructors

The full time Employee will receive an annual gross salary of

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\_\_\_\_\_ Kazakhstani tenge which shall be distributed over a period of twelve months e.g.:

\_\_\_\_\_ Kazakhstani tenge per month.

Part time, adjunct and visiting faculty members

Part time, adjunct and visiting faculty members will receive salary payments on a monthly basis for the contracted period, e.g.

\_\_\_\_\_ - KZ Tenge/month

5.3 Salaries are paid from the date the Employee joins KIMEP physically.

5.4 The Employer will make social payments to the Employee during periods of temporary disability in connection with health problems or professional diseases resulting from the performance of his/her duties and responsibilities as stated in Article 1 of the present Contract, in accordance with the legislation of the Republic of Kazakhstan.

#### **ARTICLE 6: Termination of the Contract**

It must be clear to both Employee and Employer that conditions of employment, resignation and termination must take into consideration student interests, instructional continuity and integrity first. KIMEP reserves the right to terminate this employment contract in accordance with the labor legislation of the Republic of Kazakhstan and the provisions of the FCP. The Employee also has the right to terminate this Contract under provisions specified in the FCP and in accordance with the labor legislation of the Republic of Kazakhstan (see Section 2.11 in the FCP).

#### **ARTICLE 7: Other Conditions**

7.1 The present Contract shall be considered to be in force upon the collection of all required signatures, and shall remain in force until the completion of the term of appointment as stated in Article 1, or until such time as the Employee is allowed to leave the service of the Employer.

7.2 Following completion of the term of the present Contract, this Contract may be renewed or discontinued depending on:

- a) the performance of the Employee, as recommended by the relevant College;

- b) the financial situation of the Employer;
- c) other circumstances as may be deemed appropriate by the Employer.

**ARTICLE 8: Alteration of the Contract**

8.1 Within the valid term of the present Contract, the two parties may by mutual consent, or shall on a mandatory basis if necessitated by amendments to the legislation of the Republic of Kazakhstan, introduce into the Contract necessary modifications and/or amendments to be drawn up as an additional agreement, which shall be an integral and equally valid part of the present Contract.

**ARTICLE 9: Settlement of Disputes Arising from the Contract**

9.1 All issues not stipulated in the present Contract, as well as possible disputes ensuing from it, shall be resolved through negotiations in accordance with KIMEP policies and the provisions of the Faculty Code of Practice. In case a dispute cannot be resolved by means of negotiations, the parties may submit it to the exclusive jurisdiction of the courts of justice of the Republic of Kazakhstan.

**ARTICLE 10: Copies of the Contract**

10.1 The present Contract is printed in two copies: one for the Employer, to be maintained on the Employer’s premises, and one for the Employee.

**Legal Addresses of Both Parties**

**Employer:**

JSC “Kazakhstan Institute of Management, Economics and Strategic Research”  
Republic of Kazakhstan, Almaty 050010, 4 Abai Avenue

**Employee:**

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I have read and understood the conditions of this Contract and the conditions as outlined in the Faculty Code of Practice which is available on the KIMEP website

(www.kimep.kz). I fully understand that by signing this contract I express my consent to all of the above mentioned conditions.

**Approval Signatures:**

**On behalf of KIMEP**

**Employee**

Dean \_\_\_\_\_

\_\_\_\_\_

College \_\_\_\_\_

Date: \_\_\_\_\_

Date: \_\_\_\_\_

\_\_\_\_\_

Habib Rahman, Ph.D.  
Senior Vice President of Academic Affairs

Date: \_\_\_\_\_