

## **5. Administrative and Fiscal Capacity**

*Administrative and Fiscal Capacity Standard 1: The program or institution provides a rationale for all linkages with external bodies.*

Section A Description of current operations to show how the standard is met.

### **Authorization to Operate**

The authority, Amiri Decree 139 (AF-1-1), which authorizes the AUK to operate and grant degrees, was issued on July 8, 2003 by the late Amir of Kuwait, Sheikh Jaber Al-Ahmad Al-Sabah. The original decree was issued in Arabic. For the purposes of this review, Arwa Translation Services of Kuwait has translated the document (AF-1-2).

The Amiri Decree licenses the United Education Company (Kuwaiti Shareholders Company Closed with Limited Liability) the authority to create a private for-profit university, the American University of Kuwait. The authority also included the permission to secure land and construct buildings, grant degrees in Engineering, Business Management, and Letters and Sciences, and the hiring of personnel to fulfill the University mission. The decree also specifies the role of the Board of Trustees, the University's relationship with the Private University Council, its fiscal operating year, and the expected contribution to Kuwaiti society.

### **Local Accrediting Organization**

The American University of Kuwait received institutional accreditation from the Ministry of Higher Education, Council for Private Universities in June 2006, retroactive to February 2006. This accreditation, similar to the American accreditation and the fourteen Standards of Institutional Context and Educational Effectiveness, indicates that the AUK meets operating and educational standards as defined by the Council that address such issues as facilities, human and fiscal resources, curriculum, programs and services (AF-1-3). Reaccreditation by PCU was awarded June 2008 for three years (AF-1-4).

### **Governance**

The AUK possesses an organizational structure that includes a Board of Trustees, an administrative structure, faculty committees, academic division heads/directors as outlined in the Catalog 2008-2009 (see Board of Trustees list in Catalog p. 24 AF-1-5).

In addition, the AUK and Dartmouth College in Hanover, New Hampshire (USA), have signed a memorandum of understanding that allows the two institutions to initiate a series of advisory, consultative, and cooperative projects over a 5-year period (2008-2012) (AF-1-6). Areas of interest include consultation on curriculum development, advice on university administrative issues and student participation in programs with the Rassias Foundation and the Tuck Business School's prestigious "Bridge" program for undergraduates.

### **Relationship of Intensive English Program within the American University of Kuwait**

The mandate of the IEP within the AUK is to support students who need to improve their English language skills to the level required for study in the University. The IEP is linked to Academic Affairs (current programs under Academic Affairs are the College of the Arts and Sciences and the Intensive English Program) as per the organizational chart. The Dean of the College of Arts and Sciences and the Director of the IEP report to the Dean of Academic Affairs and/or designee; however, currently both Academic Affairs administrators report directly to the President as the position, Dean of Academic Affairs, is vacant.

The IEP is has a direct relationship with the College of Arts and Sciences in program support areas such as registration, academic calendar, computer support (both administrative and instructional), marketing, and admissions (see Organizational Chart AF-1-3). The day-today operations and decisions of IEP regarding faculty, curriculum, internal administrative staffing, policies and procedures are conducted autonomously within the program.

The IEP has a direct relationship with the English Department, especially in curriculum changes or revision decisions.

**External Linkage**

Currently, the IEP faculty and director are members of TESOL and TESOL Arabia. The IEP has endorsed the TESOL Standards for Post-Secondary Programs and follows the guidelines of the American Association of Intensive English Programs (AAIEP) even though we are not members.

Section B 1) documents in the report

Copy of original Amiri Decree	AF-1-1
Amiri Decree 139 Operating License June 2003 (translation)	AF-1-2
Private University Council Accreditation (initial accreditation 2006)	AF-1-3
Private University Council Re-accreditation Authorization (2008)	AF-1-4
Catalog 2008-2009 Board of Trustees p. 24	AF-1-5
Organizational Chart	AF-1-6

2) documents on site

Original Amiri Decree, July 2003	Board Chairwoman’s Office (Copy in HR Logistics Office)
Board of Trustee By-Laws	Board Chairwoman’s Office (Copy in Office of the President)
Private University Council (PUC) Self-Study	President’s Office
Memorandum of Understanding Dartmouth	Board Chairwoman’s Office (Copy in HR Logistics Office)

Section C Performance self-appraisal

The IEP has a well established relationship with the AUK. In general, the IEP’s location and organizational structure within the University work well and benefit the program. Classrooms are equipped with instructional support systems, and instructors have access to the University’s instructional media. Students and instructors have access to computer labs and libraries as well as sports facilities.

The link between the IEP and the University’s undergraduate English Program provides valuable input to instructors resulting in high academic standards for the IEP courses.

Additionally, other departments within the University provide support to IEP such as Admissions, Registrar, Marketing, Information Technology, Student Tutoring Services, the Writing Center, Human Resources, and Finance.

Currently, the external linkage to the IEP or program organizations needs to be extended to the American Association for Intensive English Programs (AAIEP) and possibly National

Association for Developmental Education (NADE), Writing Program Administrators (WPA), and the National Council of Teachers of English (NCTE).

The IEP relationship with AUK is positive and, overall, the cooperative operations are efficient. This linkage is not likely to change.

Section D      Recommendations, plan of action, timeline, and persons responsible

The plan of action at this time is to review external organizations to determine which organization's memberships will enhance the mission of the IEP. The Director is charged with the research, review, and consultation with external organizations over the next two academic years to determine the selection of the most appropriate memberships.

*Administrative and Fiscal Capacity Standard 2: The program or institution has an effective administrative structure and governance system consistent with its mission and with the mission of the host institution, if applicable.*

Section A Description of current operations to show how the standard is met.

### **Administrative Structure**

There are three programmatic units within the AUK IEP: the Intensive English program, the Remedial English program, and Education 100. These programs are administered by the Director of the IEP. The following administrative personnel report directly to the Director:

- The Assistant to the Director
- The Coordinator of the Reading and Writing
- The Coordinator of the Oral Communications
- The Lab Assistant

The IEP operation is considered an independent unit since it provides special language needs and services distinct from the undergraduate program. Nevertheless, it remains an integral part of the University and is, therefore, serviced and supported accordingly.

### **Administrative Responsibilities**

The following is a list of the general job descriptions for each administrator in the IEP. Specific tasks are described in more detail in the Operations Manual I. Staff and Faculty Positions pp. 12-14 and in Appendix A pp. 255-256 & 263-268):

- Director: maintains a smooth-running administrative office; prepares all necessary reports and keeps accurate records; communicates clearly; proposes organizational goals and objectives prior to each fiscal year; engages in effective leadership of faculty and staff; hires and maintains competent faculty and staff members; encourages faculty and staff development; follows personnel policies closely; maintains high faculty and staff productivity.
- Assistant to the Director: coordinates and oversees technical and office administrative duties in support of the Director and the faculty, and the Lab Assistant, including the provision of varied and complex office duties; may supervise clerical and other support staff and perform other duties as assigned or directed.
- Coordinator of Reading and Writing: is responsible for student testing, placement, evaluation, advising and intercultural orientation activities; develops new reading and writing course materials in response to changing needs of students; maintains and adheres to program goals, objectives, and learning outcomes; attends faculty meetings, staff development, and in-service training meetings; and, like all full-time faculty, participates in service work for the department and the University.
- Coordinator of Oral Communications: is responsible for student testing, placement, evaluation, advising and intercultural orientation activities; develops new listening and speaking course materials in response to changing needs of students; maintains and adheres to program goals, objectives and learning outcomes; attends faculty meetings, staff development and in-service training meetings; and, like all full-time faculty, participates in service work for the department and the University.
- Lab Assistant: responsibilities include assisting students with software applications, monitoring computer equipment and troubleshooting in computer labs; ensures that students have a conducive lab environment for learning by providing one-on-one tutorial assistance as needed, assists instructors by checking students' daily

assignments and providing record keeping duties; administers tests and monitors students as needed. (see copies of position descriptions AF-2-1)

### **How the Administrative Structure Enables the IEP to Achieve Its Goals**

The IEP has an administrative structure that optimizes academic and non-academic related services to the students, and that assures effective and efficient support to faculty and staff. The structure is the functional dimension of the IEP's organizational chart (AF-2-2) which has been developed over the course of the IEP's history. As such, it has been and remains shaped by the program's developing needs and serves to stabilize and secure the program's goals and mission.

The IEP management is centralized through the Office of the Director with the support of the Assistant to the Director. The managerial structure in the IEP replicates those of the academic division in the undergraduate program and thus maintains consistency. Nevertheless, the managerial system is ideal for the program in that it has contributed towards team building, and secured continuity relative to program goals and expectations. Additionally, faculty and staff in the IEP have articulated through their annual reviews of the Director that this centralized style contributed to their sense of job security and support (director survey AF-2-3).

The Director's open door policy for students has assured the smooth administrative management of the program, and has enabled an effective and efficient level of response to student concerns in academic and/or administrative areas.

### **Recent Changes to the Administrative Structure**

Over the past two years as the enrollment increased and the English 099 course was charged to the IEP, the increase in workload produced a need for the creation of new positions to handle a number of the tasks. Two coordinators were promoted from within; Michael McMurray for reading and writing; and Rebecca Loomis for listening and speaking, for developing curriculum, mentoring faculty, writing common exams, and other assigned duties. In addition, the position of Assistant to the Director position was created and Majeda Najaa the previous Lab Assistant was promoted to the position. This position oversees technical and office administrative duties in support of the Director, faculty, and Lab Assistant.

In terms of responsibility, the Director continues to handle all faculty supervision, observations, evaluations, and is responsible for general program oversight relating to curriculum and program polices (strengths and weaknesses survey AF-2-4).

### **Decision Making**

Decision-making within the IEP reflects the Director's belief in a highly participatory management style whenever possible. The ultimate decision making authority is the Director, nevertheless measures are in place to remain fully transparent in matters of communication and information with program faculty and staff:

- Department general meetings, held at least twice a semester during which the Director gives updates on events and issues impacting IEP programs.
- Administrative meeting held every other week with personnel holding administrative roles and responsibilities within the IEP (see terms of reference directors group AF-2-5).
- Issues meetings held as needed to address matters of current concern.

The Director is responsible for the following:

- Faculty personnel decisions (hiring, contract renewal, and annual raises).

- IEP expenditures.
- Office space allotment.
- Creation of new positions or release time allocation to existing positions.

The following require the Director's signature but the decisions are primarily made in collaboration with others:

- IEP course and number of section (jointly with the Registrar and Admissions).
- Teaching assignments (jointly with the coordinators and the faculty).
- Administrative staff decisions (Assistant to the Director in consultation with the director).
- Release-time positions (selected by the coordinators, faculty or the director).
- New program development (with input from the President's Cabinet).
- Computer lab hardware and software (jointly with the Director of IT).

Many decisions are made by internal and external committees requiring input and consensus from the University community as per the terms of reference of each committee (AF-2-6).

Section B 1) documents in the report

Summary Description for IEP staff (Operation Manual I Staff and Faculty Positions pp. 12-14)	AF-2-1
IEP Organizational Chart	AF-2-2
Director Survey	AF-2-3
AUK Strengths and Weaknesses Survey (Operations Manual Appendix P, p. 689)	AF-2-4
Director's Group Terms of Reference	AF-2-5
Administrative Survey (Operations Manual Appendix P, pp. 684-685)	AF-2-6

2) documents on site

Job Descriptions Administration and Staff	Human Resources
Policy and Procedure Manual	Human Resources
Faculty Handbook (draft)	Director's Office
Employee Handbook	Human Resources

Section C Performance self-appraisal

The effectiveness of the IEP administrative structure and system of governance is evaluated each year in the departments by a Director Evaluation and an AUK Strengths and Weaknesses Survey. The result of the Director survey completed by the faculty and staff in Spring 2008 was 3.7 (scale 1-4) as follows:

1	Effectively coaches coworkers	3.4
2	Serves as a role model in programming and staff relations	4
3	Provides leadership in identifying and reaching diverse audiences	4
4	Manages fiscal matters competently	3.9
5	Assures that all staff understand and follow University policies	3.7
6	Promotes effective communication with coworkers	3.4
7	Promotes collaborative efforts	3.6
8	Observes teaching and programs	3.6

9	Provides effective feedback	3.9
10	Provides leadership for an effective work environment	3.9
	Overall	<b>3.7</b>

Survey results are discussed in general and in administrative meetings; complaints or suggestions for change are either duly noted or acted upon. The administrative group believed that, in general, the IEP administration has responded well to program and instructor needs. The following are specific examples of our effectiveness:

- Establishment of the Curriculum Committee evolved out of direct feedback from faculty.
- Additional positions and release time for faculty for administrative duties were added throughout the program's growth and development.

The process of decision making is often cited as a positive feature in the department's administrative set-up. The following are specific examples of recent changes that have resulted from our decision making process which involve issues initiated by the instructors, followed up with departmental discussions through meetings, emails, and other venues:

- The system for determining annual raises was revised and the rating scale was developed to ensure consistency and fairness.
- The system for determining the awarding of contracts was revised to allow the coordinators to review the decisions made by the Director.

Occasionally, the faculty works concurrently with different programs (intensive or academic) and finds it challenging as it involves more meetings or other duties; however, the instructors indicate that they appreciate the opportunity to work in a variety of programs.

During the self-study, two important issues came to the surface regarding administrative positions and administrative effectiveness mechanisms:

1. The importance of creating a "faculty representative" became apparent. The position was approved, and beginning in Fall 2008, the Faculty Representative serves as a communication link between faculty and the administrative staff on workplace issues. The Faculty Representative actively solicits the views of the faculty, administration, and staff on issues of concern and presents the concerns to the appropriate individual.
2. Determination that the AUK Strengths and Opportunities survey is too general as it does not highlight issues relevant to the administrative structure in the IEP; therefore, an IEP Administrative Survey was created and will be administered annually (AF-2-12).

Section D      Recommendations, plan of action, timeline, and persons responsible

There are no changes planned in this area.

*Administrative and Fiscal Capacity Standard 3: Administrative, faculty, and support positions are adequate in number, staffed appropriately, and structured to facilitate the achievement of program or institutional goals.*

Section A Description of current operations to show how the standard is met.

### **Administrative Positions Key to IEP Service and Activities**

The primary service of the IEP administration and faculty is to provide English instruction to 250-400 IEP and English 099 students each semester. The primary administrators of this service are the full-time administrative staff consisting of the Director, the two coordinators, the Assistant to the Director, the Lab Assistant and eight to ten student workers (AF-3-1).

The admission's process is handled by the Office of Admissions (a director and seven admissions counselors) whereas the testing and placement are the responsibility of the IEP administrative staff (Director, Coordinators, Assistant to the Director, Lab Assistant, and/or six student workers). The Admissions office accepts and evaluates applications, schedules English competency testing and extends offers of admission to the most academically deserving applicants. An average of 400 applications for IEP are received each semester and an additional 400 applications for undergraduate study according to the semester census (AF-3-2). The IEP student body is composed of students from each category.

Orientation and registration are organized by the IEP staff and student workers in collaboration with the IT department, Campus Services, the Registrar, Finance, Student Life, and Admissions. Each respective area contributes to the logistics involved to ensure a smooth, seamless process.

### **Staff providing Service to Students outside the Classroom**

Student activities are coordinated through the Office of Student Affairs. The Office of Outreach and Events is responsible for coordinating events designed to engage students in life at the AUK as well as promote the AUK to the Kuwait community. The Office of the Registrar is a vital source of academic information for students and provides valuable assistance and advice to students on using the Self-Service system from registration to graduation. The Student Success Center (SSC) provides academic, personal and career support to all currently enrolled students. Student Life is responsible for assisting students in developing a sense of belonging and community, supporting the educational process through co-curricular programming and social activities, as well as through leadership opportunities. All service staff positions in Student Affairs are full-time 40 hours per week during the semester.

### **IEP Enrollment Patterns**

The enrollment pattern of the IEP has changed over the past two years as enrollment has doubled with the addition of the English 099 remedial program and the change in benchmarks for placement. Currently, in the Fall Semester the enrollment into the IEP courses is capped at 200-250 students and English 099 is capped at 100-150 students. In the Spring Semester, the enrollment into the IEP courses is capped at 150-200 students and the enrollment in English 099 is capped at 50-80 students. The Summer Semester has a total of 50-75 students in both programs. The total student body the IEP can adequately service with the current staffing is 400 students. Annually, the IEP has +350 new and continuing students in IEP courses and +200 students in the English 099 course as per the enrollment chart (AF-3-3).

## **IEP Faculty, Combined Faculty/Administrative, and Administrative Positions**

All of the administrative and program support positions are full-time with the exception of the coordinators (see employee categories AF-3-4). The coordinators' teaching load is half and administrative load is half. The rationale behind using faculty as coordinators is that through the coordinators' teaching assignments, the coordinators remain current with the learning needs within the program. Faculty released for administrative duties have a teaching workload of two thirds and an administrative workload of one-third. These assignments are typically for one semester only.

Within the department, however, there exist different classifications of employment: professional, classified staff, faculty, and student workers positions.

*Professional Management* position includes the Director. The director works full-time and is on a permanent three-year renewable contract with 40 days annual leave (normally taken in increments during "slow" periods throughout the year).

*Classified Staff* positions include the Assistant to the Director and the Lab Assistant and have unlimited contracts with 35 days annual leave (normally taken throughout the year). These positions are not classified as specific to ESL; the policies and hours are governed by the University schedule.

*Faculty* have three-year renewable contracts with 60 day annual leave (normally taken in the summer). This includes the coordinators with combined teaching and administrative duties.

*Student Workers* are hired per academic year or on a semester-to-semester basis depending on the preference of the student worker and the assignment.

## **Staffing Patterns**

There are generally about fifty classes taught in the IEP semester. The teaching load for full-time faculty is two classes per semester, which amounts to 25 instructors with an average ratio of 1:16 per class. However, coordinators teach only one class per semester and faculty with release-time only teach one class. The teaching load for part-time and adjunct faculty is normally one class per semester.

The IEP Program consists of the following categories of faculty members:

- Twenty full-time faculty
  - seventeen with permanent three-year renewable contracts
  - one with permanent three-year renewable contract on a temporary release-time position (chair of the accreditation team)
  - two with permanent three-year renewable contracts with permanent release-time (the coordinators)
- four adjunct faculty with a temporary semester appointment
- two part-time faculty with a temporary semester appointment

The number of permanent annual faculty contracts increased two years ago when the enrollment increased due to the addition of government scholarship students and due to the charge of teaching remedial English. In the Fall 2006, permanent annual faculty contracts were increased by ten (10).

Instructors new to the program or new to a course are prepared for their assignment through the Operations Manual, orientation by the Director and/or coordinators, mentoring, and

course files with syllabi and instructional material on the M:Drive. This is described in more detail in Faculty Standard 4 under “Teaching Assignment.”

In the spring semester, the enrollment normally fluctuates and some IEP instructors are assigned to teach English 101 *Approaches to Critical Reading and Writing or English* or English 108 *Public Speaking*. The instructors selected to teach in the undergraduate credit-bearing courses are those with sufficient experience and training in composition and/or public speaking. Furthermore, the Freshman Writing Coordinator mentors the instructors to ensure that they are adequately prepared and supported for the teaching assignment (see procedure Appendix A, pp. 209-210).

### **Teaching Load**

A full teaching load for full-time faculty consists of 20 contact hours per week, i.e., four “teaching hours” per day (see teaching and course assignment C). The only faculty who regularly are given fewer hours than a full-teaching load are the coordinators. Occasionally, a full-time instructor is requested by the director to teach fewer hours so that the faculty member can complete an administrative task. However, the IEP has a policy of trying to employ all faculty fully.

Since proposed semester schedules are entered into the data management system, Banner, tracking the teaching assignments of all faculty across the program is efficient and effective. In addition, as mentioned above, there are only two people with administrative positions in the IEP who are doing a combination of teaching and administrative work. Therefore, the ratio of full load faculty to partial load faculty is approximately 10:1 and the ratio to full-time faculty versus part-time faculty is 5:1.

### **Continuity in Instruction and Services**

The IEP ensures continuity in instruction and minimization of the impact of new courses on instructor’s workload through: course assignment procedures, mentoring, course files and skills meetings.

- Course assignment procedures  
The Director manages the assignment of instructors in collaboration with the coordinators for IEP and English 099 courses. An instructor can request to continue teaching the same course for three semesters. This means the instructor will not be bumped unless the course does not run or the number of sections in the course is not adequate.
- Mentoring  
Experienced instructors volunteer to act as course mentors to instructors new to the course. Usually, instructors and the mentors will meet prior to the beginning of the semester in order to share their syllabus and course outlines. Mentors make themselves available throughout the semester to address any questions and concerns instructors might have.
- Course files  
The course materials are housed on the M:Drive and available to all faculty. Instructors add new materials to the file throughout the semester.
- Skills meetings  
Skills meetings take place every other week during the semester. During these meetings, the coordinators and/or senior instructors of a particular skill will meet with faculty teaching the skills to plan and discuss common midterms and final exams, norm grading rubrics, or address any outstanding concerns.

The IEP works to ensure continuity in service and the minimization of the impact of administrative disruptions; therefore, all administrative positions (Director, Coordinators, Assistant to the Director, and the Lab Assistant) are on permanent three-year renewable contracts or unlimited contract assignments. Replacement training for the administrative position is dependent upon the experience a new applicant possesses. The new applicant is encouraged to spend overlapping time with the current staff. The only changes in the administrative positions thus far are the ones made through the creation of new positions. The turnover in the administration has been minimal.

### Evaluation of Faculty

All instructors are evaluated annually for the purpose of basic contract renewal and/or to determine eligibility of an annual raise. The Faculty Performance Appraisal system is explained in detail in Faculty Standard 2 and 8, in Administrative and Fiscal Capacity Standard 8, and in the Operations Manual (Appendix A, p. 21).

Section B 1) documents in the report

Administrative employee list	AF-3-1
Operations Manual I. Definitions, Responsibilities, Qualifications p. 12-14	Appendix A
Spring 2008 Census (X:Drive/Division of Student Affairs/Census)	AF-3-2
Enrollment chart	AF-3-3
AUK Employee Categories Policy and Procedure	AF-3-4
Operations Manual V. Scheduling of Course Offerings pgs. 209-210	Appendix A
Operations Manual I. Evaluation Measures p. 21	Appendix A

2) documents on site

Course materials	M:Drive/Courses/(course)
Interviews with faculty, staff and administrators	

Section C Performance self-appraisal

The IEP staffing practices are adequate in number and are structured and staffed appropriately to facilitate the achievement of program goals for the current IEP faculty and student population. We believe that the current staffing practices are working well. The current staffing allows us to offer English language instruction to 250-400 students per semester, to keep classes to a 1:16 ratio, to provide ample support services to students, and to provide sufficient incentives and adequate conditions for effective teaching. Adding or expanding classified or professional staff positions is reevaluated annually, and by providing the justification and rationales, the positions are usually approved.

Providing effective services to students is an on-going priority in the IEP. In Week 0 each semester, there are in-depth discussions of the week's registration process. The Director's Group Meeting a week after the beginning of the semester is devoted to assessing the success of the semester's admissions and registration procedures. This approach has resulted in on-going improvements in our admission and registration system. Along with the administrative faculty and staff, the instructors are involved in registration and orientation duties. This allows for flexibility in handling work overloads during the busy times at the beginning of each semester.

In addition to bi-weekly administration meetings, the office staff holds regular meetings which are used to address current workplace issues and serve as a forum for communication. Some of the changes in procedures and staffing have resulted from these meetings are:

- The position of the Assistant to the Director was added to ensure the Director had adequate assistance in completing reporting and assigned tasks.
- The position of coordinator was added to ensure a comprehensive curriculum with measurable learning outcomes, and was developed in order to facilitate the mentoring of new faculty.

Staff vacations are scheduled during periods that are not busy so the impact to service and other staff is minimal. Most tasks are handled by a co-worker in the office when someone is away.

In summer semesters, only seasoned instructors are allowed to teach the courses offered since experienced faculty may be on vacation and not be available to serve as mentors.

Section D      Recommendations, plan of action, timeline, and persons responsible

We have no plans to make any additional changes in this area at this time.

*Administrative and Fiscal Capacity Standard 4: Administrative personnel have appropriate education, training, and experience to accomplish their assigned duties and to meet program or institutional goals.*

Section A Description of current operations to show how the standard is met.

### **Staff Selection Process**

The AUK selection process for faculty and administrative staff occurs in six (6) basic steps (illustrated below) and begins with an employment requisition being completed and forwarded to the HR department by the Director of the IEP. The employment requisition is used to request a replacement for a current vacancy or to request a new position. After an employment requisition has been approved, the recruitment process commences. Job announcements are placed internally and externally. Internal applicants are given preference, but are still judged against external applicants. Current job descriptions are maintained and used to establish job specifications. If a position has changed, the job description is updated prior to the commencement of the recruitment process.

Step One – Resumes are collected from internal and external applicants by Human Resources. Internal applicants are required to forward a letter of interest and last performance appraisal or recommendation from management. External applicants are required to include professional references with their resume or the AUK employment application form.

Step Two – Initial screening is performed where skills and qualifications are compared to the job specifications and a listing of candidates is derived by Human Resources. This listing can be 5-10 candidates depending upon the applicant pool and position. This set of applicants is then further screened by the Director of the IEP and a short list is forwarded to HR for the interview cycle.

Step Three – First and second interviews are conducted and testing completed. First interviews are conducted by the hiring authority of the requesting department and a panel of interviewers chosen by the hiring authority. Candidates that advance are then interviewed in a second round by departmental directors and HR/HR representative. If testing is required, it is conducted at this stage. (e.g., computer skills, classroom skills, English teaching skills to non-native speakers, scenario analysis, management skills assessment, etc.)

Step Four – Human Resources conducts background checks on the top two candidates. These results are then forwarded to the Director of HR for final candidate selection in agreement with the Director of the IEP.

Step Five – Contingent job offer is made to the selected candidate. The offer is contingent and based upon successful completion of medical tests as required by the State of Kuwait and satisfactory reference checks.

Step Six – Final offer and acceptance. A final offer is made to the candidate in the form of a Letter of Appointment approved by the President and accepted by the candidate. This Letter of Appointment may be rescinded if medical testing is not passed or if educational qualifications are not authenticated by the government authority of the candidate.

### **Student Worker Selection Process**

The Division of Student Affairs coordinates student employment across the campus. Student employment is designed to enhance students' educational experience while providing a necessary service to the University community. Students will acquire skills that can enhance

their employability and benefit them in any career. Student employment also provides an opportunity to offset a portion of a student’s educational expenses.

Applicants will complete the Student Employment Application available on Self-Service and will submit it online. Each application submitted online stays in the system’s pool of applicants for future reference during the selected term. Students are required to apply for each term (fall/spring and summer) by updating their application each hiring term.

The student worker selection process in the IEP is as follows:

- The Assistant to the Director collates the online applicants and selects those with the necessary skills for the position
- Students are contacted for an interview by either the Assistant to the Director if the position is in the office or lab, Academic Support if it is a tutor position, or the Director of the Writing Center if the position is in the center
- The Director interviews the students per recommendation of the above
- If a student is selected for a position, he or she will be contacted by the director to confirm their interest verbally. An appointment or agreed starting date should be determined. On the first day of work, the student brings the following items in order to complete the hiring process:
  - Class schedule and cumulative grade point average printed from Banner
  - Copy of the student’s civil ID (front and back)
  - Copy of the picture and residency page of his/her passport

Finally, students sign the Student Employee Confidentiality Agreement and are required to read the Student Employee Handbook, which explains the policies and procedures pertaining to their employment and other pertinent information.

**Full time Professional Executive Management**

The qualification of full-time professional executive management is presented below:

Margaret Combs (Resume, AF-4-1)	Director of Intensive English Program (2004-present)
Education	M.A. Linguistics University of Massachusetts in progress M.A. Education Administration Stanford University B.A. English and Literature Southern New Hampshire University
Relevant Experience and Training	Director of ELS Language Center 1998-2003 Five years directing ESL and ESP programs and contracts in Kuwait Academic Director ELS Language Center 1996-1998 Two years developing curriculum, selecting, hiring, and mentoring ESL instructors Kay and Associates (1991-1996) Coordinated and taught English language to Kuwait military
Professional Development Activities	Conference participation in TESOL Arabia 1998 – present Conference attendance TESOL 2007 – present Courses and/or workshops in the Center for Continuing Education in regard to current pedagogy and methodologies and ESL learners TEFL Certification 1991

The Director of IEP, Margaret Combs, was hired in June 2003 for the current position on the recommendation of the previous President of AUK. Ms. Combs had been the Director and Academic Director of an intensive English language institute in Kuwait seven years as well as a coordinator and instructor for five years. Her knowledge of Arab learners and her cultural sensitivity in addition to her administrative and instructional experiences, validated her selection for the position.

**Administration Staff**

The qualifications of full-time Assistant to the Director and the Lab Assistant are presented below:

Majeda Najaa (Resume, AF-4-2)	Assistant to the Director of Intensive English Program (2008-present)
Education	Arab Open University Business Administration (Part-time student) - Present Beirut Arab University - finished 2 years Psychology Jeel Al-Jadeed High School - High School Diploma.
Relevant Experience and Training	Lab Assistant IEP 2006-2008 Two years directing and supervising the Lab and student workers Executive Assistant- Student Affairs Division 2004-2006 Two years overseeing and performing a range of diverse administrative activities for Dean and organizational unit
Professional Development Activities	-Using Personality Analysis to Improve Your Management Performance Center for Continuing Education American University of Kuwait (2007) -Resolving Workplace Problems and Conflicts Courses Center for Continuing Education American University of Kuwait (2007) -Leading and Motivating Employees Center for Continuing Education American University of Kuwait (2007) -Achieving Successful Results Center for Continuing Education American University of Kuwait (2007) - Excel 4.0 Pitman Secretarial & Business Studies Center -English typing Pitman Secretarial & Business Studies Center -Data Entering – Arabic - Pitman Secretarial & Business Studies Center -Customers service training course Emirates Spring Real Estate Service -English Language Course The British Institute of Training and Education -Business English Language The British Council of Training and Education

The Assistant to the Director position was created by the Director of the IEP due to the increase in enrollment in IEP with the creation of the Remedial English Program, English 099. Majeda Najaa was promoted to the position based on her experience in the IEP program and her continuing professional development relative to supervisory skills and responsibilities, as well as computer and data-base management ability.

Jabran Butt (AF-4-3)	Lab Assistant (2008-present)
Education	B.A. American University of Kuwait
Relevant Experience and Training	Student Worker IEP 2004-2008 Four years working in the IEP Lab proctoring placement exams, assisting students in the language lab, maintenance of computer equipment
Professional Development Activities	Training: A+ from Comptia Company Microsoft Certified Professional (MCP) Microsoft Certified Systems Administrator (MCSA) Microsoft Certified Systems Administrator, (MCSA Messaging) Microsoft Certified Systems Engineer (MCSE) HTML 4.0 Fundamentals HTML 4.0 Advanced Topics Cisco basic training June – July 2005 Cisco routers configuration Software Skills: Perfect knowledge in Microsoft Windows Vista & XP Microsoft Word, Excel, Access & Power Point Web designing with Microsoft Front Page 2000 / XP, HTML 4.0 and Flash 4/5 Macromedia Dreamweaver 8.0 Adobe Photo Shop CS2 Adobe Illustrator CS2

### Faculty and Administrative Positions

The faculty/administrative position of Coordinator fulfill a dual purpose: to carry out essential administrative tasks for the IEP and to give faculty the opportunity to develop administrative skills. The amount of training each coordinator receives depends on the person's experience.

The qualifications of the two full-time Faculty/Coordinators are presented and a summary of their qualifications follow:

Michael McMurray (AF-4-4)	Senior Instructor/Reading and Writing Coordinator (2007-present) Curriculum Designer/Coordinator of English 099 Program
Education	M.S. in Education/Reading, East Texas State University B.A. in English, University of Texas at Dallas
Relevant Experience and Training	Instructor of English, College of Arts and Sciences AUK (2005-2006) Taught IENG and ENGL 099 courses for both the IEP and the English Department Coordinator/ Instructor Kuwait University (1997-2004) Curriculum/Test Designer/Coordinator for Business English, General English, and Research Methods/ In-country Advisor/Instructor for Distance-Degree Graduate Students at Salford University, UK, English Language Teacher, College of Business Administration Saudi Aramco, Jeddah Training Center (1994-1997)

	Advanced English Instructor/Trainer for three ESP programs, Clerical Instructor for word processing, typing, office procedures
Professional Development Activities	Research activities: Psychology: an investigation into the cognitive state of the late adolescent ; Psychology/sociology: an investigation into what Twenge refers to as the "Generation Me" syndrome peculiar to the post-baby-boomer generation; and Reading: an investigation into the ever-decreasing amount of continuous prose text reading. Courses in the Center for Continuing Education in regard to current pedagogy and methodologies and ESL learners

The Coordinator of the Reading and Writing Curriculum, Michael McMurray, was promoted to Senior Instructor in 2006. His experience in curriculum development at Kuwait University, especially in regards to reading and writing, and his knowledge of Arab learners corroborated the experience needed for the position.

Rebecca Loomis (AF-4-5)	Instructor/Oral Communications Coordinator (2006-present) Curriculum Designer/Coordinator of IENG courses
Education	M.A. Teaching English as a Second Language San Francisco State University B.A. English University of California
Relevant Experience and Training	ESL/Reading Instructor. San Joaquin Delta College. Stockton, CA. 2002-2004 Two years experience teaching ESL Reading and Writing to non-native and native speakers at the community college ESL Instructor/Housing Director. American Language Academy at UOP. Stockton, CA. 1998-2000 Two years experience teaching all levels from beginning to advanced ESL courses in all skill areas including a focus class, which focuses on various aspects of English language learning. Directed the arrangement of host families in the community with international students. Conducted special orientation meetings, filed term reports, and maintained updated correspondence between host families and the organization. Acting Director when director is on leave.
Professional Development Activities	Courses and/or workshops in the Center for Continuing Education in regard to current pedagogy and methodologies and ESL learners

The Coordinator of Oral Communications, Rebecca Loomis, was promoted to Coordinator on the recommendation of the Director of IEP. Ms. Loomis had been actively involved in the development of curriculum, learning materials review, and mentoring prior to her appointment. (See Administration Employee Education List AF-4-6)

### Student Workers

The IEP hires student workers for a variety of positions within the program. Currently, there are ten student workers assigned to IEP. The descriptions of the student worker positions available are:

Intensive English Program Assistant	The student will perform clerical and administrative tasks for AUK faculty. He or she will photocopy, file and type documents, sort incoming mail, answer telephone calls, deliver documents, and
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	complete other tasks as needed. In addition, depending on skill level, IEP student workers may be required to administer Placement Exam, direct Reading Circles, proctor exams, and monitor computer labs.
Intensive English Program Office Assistant	The student will perform clerical and administrative tasks for AUK faculty. He or she will photocopy, file and type documents, sort incoming mail, answer telephone calls, deliver documents, and complete other tasks as needed.
Intensive English Program Peer Tutor	The peer tutor provides collaborative support for undergraduate students desiring assistance with course content or general study skills. Peer tutors work directly with students in small group and one-on-one settings under the supervision of the Director of Student Success. Peer tutors must have a cumulative GPA of at least 3.00, and a B or higher in the course(s) they are tutoring. They should express a sincere desire to help fellow students.
Intensive English Program Student Writing Consultant	The student writing consultant works collaboratively with individual students seeking help with their reading and writing assignments for Level 1 and 2. Consultants provide help in understanding and developing effective strategies in writing for a variety of purposes, audiences, genres, and styles, as well as working with students in all stages of their writing processes, from generating ideas, to developing and organizing the ideas, to revising for focus, to editing for mechanics and punctuation.

The hiring of student workers is the responsibility of the Director. The training and supervision of student workers is the responsibility of the Assistant to the Director.

Section B 1) documents in the report

Resume Margaret Combs (Operations Manual Appendix K pp. 558-560)	AF-4-1
Resume Majeda Najaa (Operations Manual Appendix K pp. 562-567)	AF-4-2
Resume Jabran Butt (Operations Manual Appendix K pp. 556-557)	AF-4-3
Resume Michael McMurray (Operations Manual Appendix K pp. 600-601)	AF-4-4
Resume Rebecca Loomis (Operations Manual Appendix K pp. 596-598)	AF-4-5
Administrative employee education list	AF-4-6

2) documents on site

Hiring procedures	Human Resources
Permanent staff and faculty personnel files	Human Resources
Interviews with administrative personnel	

Section C Performance self-appraisal

Currently, the performance appraisal process consists of elements listed below:

1. A faculty/staff self-evaluation
2. A faculty/staff annual report
3. Classroom Observation
4. Service to the university
5. An annual performance review from the Director of IEP
6. Participation in professional development

The performance review for administrative positions scores the following: attendance/punctuality, presentation/appearance, ethics/values, service to customer-internal/external,

communication- written/oral, knowledge of the job, quantity of work, quality of work, and the ability to use computers/systems. The self-evaluation is used as part of a discussion with the Director/President (depending on job title) which includes a review of the overall performance, professional development, and service to the University. The staff annual report documents work related activities, professional development or volunteer activities, and service. A final overall score is derived and impacts the merit increase provision.

The performance review for faculty with administrative duties scores the following: teaching, research, scholarship, creative activity and service; and it includes a summary assessment by the Director. The self-evaluation is used as part of a discussion with the Director/President which includes review of student course evaluations, grades, and enrollment trends for the assigned courses. The faculty annual report documents teaching and mentoring activities, scholarly activities, service and professional activities, and other miscellaneous training or volunteer activities. A final overall score is derived and impacts the merit increase provision.

In essence, a 360-degree performance appraisal system is used to evaluate the teaching/administrative staff. A performance review instrument is also used for staff who operate exclusively within an administrative capacity, and covers such items as the level of achievement with respect to annual objectives, general performance factors (i.e., attendance, ethics, customer service, communication, job knowledge, quality and quantity of work, use of computers), and training requirements. A list of objectives is always established for the following year.

If weaknesses are identified, training is provided in coordination with the Human Resources Department to help the employee improve and/or additional education is suggested. The AUK provides workshops, seminars, and mini-courses through its Continuing Education Division to employees free of charge or at a significantly reduced rate.

As per the selection process outlined in Section A, all applicants are measured against job specifications that are based upon the job description. Additionally, the turnover rate in the IEP is minimal, especially in the administrative ranks.

Section D      Recommendations, plan of action, timeline, and persons responsible

The recommendation to enhance education, training, and experience needed in the IEP for faculty and staff to accomplish their assigned duties and to meet program or institutional goals is a sophisticated training and development program. In addition, Human Resources department is reviewing the salary structures within the program to verify that the IEP salary structure is aligned with the market. These two initiatives are underway at the present and included in the strategic plan implementation goals for the AUK to be implemented over the next five years.

*Administrative and Fiscal Capacity Standard 5: Administrators and staff have working conditions appropriate for their assigned responsibilities.*

Section A Description of current operations to show how the standard is met.

### **Policies Governing Working Conditions**

The AUK's IEP subscribes to all Kuwait Social Services and Labor Laws and University policies and procedures regarding the workplace. The main goal of the AUK as an institution is to provide a pleasant, safe, healthy, comfortable and state-of-the-art environment for its students, faculty and staff. Providing the right setting is the best guarantee for the effectiveness of the learning experience.

In the Operations Manual, the code of conduct provides the rules of conduct and recourse from harmful or inappropriate workplace conditions (see Code of Conduct AF-5-1). Identification of problems involving working conditions, facilities or resources are generally articulated by faculty and staff to the Director but can be expressed to the department charged with the facility maintenance or resources directly. The issue is then directed to the appropriate administrator for resolution.

### **Administrative and Faculty Office Space**

As stated in Facilities, Equipment, and Supplies Standard 1, the IEP faculty and the Director have individual offices in the Science Building (Building A) on the 3<sup>rd</sup> Floor (see FES-1-2). The support services for the 3<sup>rd</sup> floor consist of two offices for Administrative Assistants and one shared reception area for student workers. Each instructor's and the Director's office contains at minimum a desk, computer, Internet and Intranet connection, telephone, guest chair, at least two file cabinets, bookshelves, and a small end table. Some offices contain a desk-jet personal printer. There exists a shared (undergraduate faculty and the IEP faculty) conference room, copy room with two high-speed photocopiers, kitchen, a fax, a scanner, two laser black-and-white high-speed printers, one laser color high-speed printer, individual mailboxes and a storage room. Instructors are also free to take copy jobs to the University copy center, Kwik Kopy, with the Director's signature. The service is billed to the IEP budget.

The adjunct or part-time faculty has a shared office on the 5<sup>th</sup> floor of the Liberal Arts Building (see FES-1-3). The office contains six desks with computers, Internet and Intranet connections, telephones, bookshelves, guest chairs and file cabinets. On the 4<sup>th</sup> floor, there exist shared facilities (undergraduate and the IEP faculty) containing a faculty lounge, a conference room, a copy room with two high-speed photocopiers, a fax, a scanner, kitchen, two laser black-and-white high-speed printers, one laser color high-speed printer, individual mailboxes and a storage room.

The Assistant to the Director and the IEP Lab Assistant have offices on the Central Campus (see FES-1-4). Each office or space contains a desk, computer, Internet and Intranet connection, telephone, guest chair, at least two file cabinets, bookshelves and a small end table. In addition, the office contains the library of graded readers and secure storage facilities for the IEP faculty's student production.

### **Meeting Space**

Meetings are held in a variety of places, depending on the size of the group meeting and the media equipment required.

- Conference Room on the 3<sup>rd</sup> Floor of the Science building (media equipment: computer and projector) capacity 20 (see FES-1-5).

- Conference Room on the 4<sup>th</sup> Floor of the Liberal Arts building (media equipment: computer and projector) capacity 20 (see FES-1-6).
- Conference Room on the 2<sup>nd</sup> Floor Library (media equipment: computer and projector) capacity 30 (see FES-1-7).
- Conference Room on 3<sup>rd</sup> Floor Administration Building (no media) capacity 10 (see FES-1-8).
- Multi-purpose Room on Central Campus (media equipment: computer and projector) capacity 200 (see FES-1-9).
- Auditorium on 1<sup>st</sup> Floor Liberal Arts Building (media equipment: computer, projector, big screen projector) capacity 300 (FES-1-10).

### **Classrooms and Labs**

The IEP classrooms are assigned by the Registrar's Office and are located in the Science Building (see FES-1-11), Liberal Arts Building (see FES-1-12), and the Central Campus (see FES-1-13). Each assigned classroom is appropriately equipped and adequate in capacity. Classroom assignments can be changed at the request of the faculty through the Director if space is available. All classrooms and other teaching spaces support teaching methods appropriate to the achievement of the program's goals and objectives. All Reading and Writing course are delivered in a classroom with between 18 and 28 computers, whereas all Oral Communication classrooms are lecture rooms with 18 to 35 student capacity. Students and faculty have access to appropriate physical, technological, and educational resources to support teaching and learning. Students with disabilities and their instructors are accommodated to the mandates outlined by Student Affairs.

Students who attend lab orientation (given at the beginning of each semester) are permitted to use the IEP labs (see FES-1-4) during the open lab hours of 7:00 AM to 9:00 PM. Students also have access to the University open lab on the ground floor of the Liberal Arts building, which contains 50 computer stations. If instructors wish to schedule lab time for their students, the request is made to the Assistant to the Director or the Lab assistant for actual lab assignments.

### **Facilities and Resources Resolutions**

Faculty and staff have mechanisms and processes in place to resolve inadequate or detrimental working conditions, facilities, and/or resources.

Computer and media concerns are handled by the IT Department. Faculty and staff send a request to the AUK Helpdesk or call the IT hotline mobile number directly or through the director for assignment to an IT technician and resolution (see Help-desk request F-5-2). Each IT request is given a priority rating. Issues within the classroom normally have less than a 30 minute turn-around time. All IT and media concerns with a viable solution are resolved within 24 hours.

Facilities concerns are handled by the Campus Services department. Faculty and staff send a request to Campus Services either directly or through the Director (see Work Order Request F-5-1). Concerns within the classroom are addressed immediately by Campus Services. All concerns are addressed in a timely manner and resolution is normally within twenty-four hours.

Resources concerns are handled by the Director. Faculty and staff send a request to the Director by email or verbally. Office and classroom supplies are handled immediately by the AUK Stores. Instructional materials, if available, are housed in the Director's office. In the

event that instructional materials are not available, the Director sends an order to the AUK Bookstore. Depending on the location of the vendor or publisher, the learning material is normally delivered within three weeks.

Section B 1) documents in the report

Code of Conduct (Operations Manual Appendix D Code of Conduct p. 325-327)	AF-5-1
IEP Faculty Offices Science Building 3 <sup>rd</sup> Floor (X:Drive/Campus Services/Campus Drawing)	FES-1-2
IEP Adjunct and Part-time Faculty Offices Liberal Arts Building 5 <sup>th</sup> Floor (X:Drive/Campus Services/Campus Drawing)	FES-1-3
Assistant to the Director/Lab Assistant Office Central Campus Ground Floor C003/C004 (X:Drive/Campus Services/Campus Drawing)	FES-1-4
Faculty Lounge/Conference Room Science Building 3 <sup>rd</sup> Floor (X:Drive/Campus Services/Campus Drawing)	FES-1-5
Conference Room Liberal Arts Building 4 <sup>th</sup> Floor (X:Drive/Campus Services/Campus Drawing)	FES-1-6
Conference Room Library 1 <sup>st</sup> Floor (X:Drive/Campus Services/Campus Drawing)	FES-1-7
Conference Room Administrative Building 3 <sup>rd</sup> Floor (X:Drive/Campus Services/Campus Drawing)	FES-1-8
Multipurpose Room Central Campus Building C116 (X:Drive/Campus Services/Campus Drawing)	FES-1-9
Auditorium Liberal Arts Building Ground Floor (X:Drive/Campus Services/Campus Drawing)	FES-1-10
Classrooms Science Building 2 <sup>nd</sup> Floor (X:Drive/Campus Services/Campus Drawing)	FES-1-11
Classrooms Liberal Arts Building 1 <sup>st</sup> Floor (X:Drive/Campus Services/Campus Drawing)	FES-1-12
Classrooms Central Campus Buildings Ground Floor (X:Drive/Campus Services/Campus Drawing)	FES-1-13
Assistant to the Director/Lab Assistant Office Central Campus Ground Floor C003/C004—IEP Labs (X:Drive/Campus Services/Campus Drawing)	FES-1-4
AUK IT help desk request sample	F-5-2
Work order request	F-5-1

2) documents on site

Kuwait Social Service and Labor Law	Director's Office
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Section C Performance self-appraisal

Since the AUK has only been in operation for four years, the facilities and resources are in excellent condition as evident by the 4.6 rating in the AUK Strengths and Weaknesses Survey (scale 1-5):

		Strongly Agree %	Agree %	Somewhat Agree %	Disagree %	Strongly Disagree %	Total
1.	AUK provides a good learning environment	3.5	0.8	0.3			4.6

In addition the faculty and staff response to the campus environment questions on the survey is:

		Strongly Agree %	Agree %	Somewhat Agree %	Disagree %	Strongly Disagree %	Total
15.	AUK maintains a safe campus for its students, faculty, and staff	2.0	0.8	0.9	0.2		3.9
16.	AUK maintains a campus that meets the needs of its students, faculty, and staff	0.5	2.0	0.9	0.2		3.6

However, the majority of complaints are in regards to the IT support. The survey recorded a 3.5 rating:

		Strongly Agree %	Agree %	Somewhat Agree %	Disagree %	Strongly Disagree %	Total
8.	AUK provides appropriate instructional technology services	1.0	1.2	1.2		0.1	3.5
9.	AUK provides appropriate administrative technology services		2.8	0.6		0.1	3.5

The working conditions, office space, classroom assignment, lab assignments and meeting spaces are adequate in number and size and appropriate for the assigned responsibilities for faculty and staff.

Section D Recommendations, plan of action, timeline, and persons responsible

We have no plans to make any additional changes in this area at this time.

*Administrative and Fiscal Capacity Standard 6: Administrators and staff receive written job descriptions at the time of employment and any time their duties or terms of employment change.*

Section A Description of current operations to show how the standard is met.

### **Terms and Conditions of Employment**

As stated in Faculty Standard 6, all faculty members—full-time, part-time and adjunct, and all staff personnel—receive a copy of their job description as well as a contract with all terms and conditions of employment in writing upon hire (see sample job description Assistant to the Director AF-6-1). The terms and conditions of employment differ according to the classification of the employee and/or immigration status.

Initially, the terms and conditions for each position in the IEP are determined by the Director. The proposed terms and conditions are presented to the President for approval. Once approved, the terms and conditions are articulated to the Director of Human Resources for final review against legal requirements, accuracy and implementation.

The terms and conditions of employment are determined not only by the classification of the position but also the home of resident (nation of origin) of the new hire. Below are the differences in the typical contract benefit packages offered to include but not limited to:

#### *Local Hire (staff):*

- Educational expenses (AUK provides financial assistance for children of employees attending AUK.)
- Medical leave (prorated and greater than that required by Kuwait Labor Law)
- Maternity leave (70 days)
- Medical insurance plan for employees and dependents
- Annual Leave (25 working days)
- Kuwait Social Security or Service Indemnity (one month's salary per year)

#### *International Hire (faculty and professional executive management):*

- Educational expenses (AUK provides financial assistance for children of employees attending AUK.)
- Reimbursement of educational expenses for children of employee (maximum of two)
- Medical leave (prorated and greater than that required by Kuwait Labor Law)
- Maternity leave (70 days)
- Medical insurance plan for employee and dependents
- Annual leave (61 calendar days or 30 working days)
- Kuwait Social Security or Service Indemnity (one month salary per year)
- Accommodation subsidy (KWD 400 – 500 per month)
- Annual ticket allowance (employee and dependents to home of legal residence)
- Relocation/Repatriation Airfare Ticket (employee and dependents to home of legal residence)
- Resettlement allowance (KWD 2000 - 3000)
- Relocation/repatriation shipping allowance

Additionally, “international hire” contracts specify the length of employment (typically three years) (see sample international contract F-6-2) whereas “local hire” contracts are unlimited (see sample contract local hire AF-6-2), i.e. employment is at the will of the employer and employee. All employment contracts specify the salary, employment period of performance,

teaching and administrative requirements and hours, benefits, contract termination notification requirements, confidentiality requirements, and penalties for breach of contract. Initially, the Director of Human Resources informs new hires of the terms and conditions of employment in regards to the salary with payment dates, the length of employment with start date and end date, the teaching hours per semester, the annual leave per academic year, and the benefits. Thereafter, the Director is responsible for informing faculty and staff of any changes in the terms and conditions of employment allowed within the parameters of the Kuwait Social Services and Labor Law mandates.

Newly hired faculty and staff attend three orientations as follows:

1. *Human Resources*: faculty and staff are introduced to life in Kuwait, AUK organization, Student Registration and Admission process, IT services, and other points of interest. HR policies and procedures are introduced (by HR personnel) in orientation sessions and/or presented to employees during departmental meetings (AF-6-3).
2. *Academic Affairs*: faculty and staff are typically introduced to the activities and support offered by Student Affairs, the Library, Admissions and Registrar, agenda items to the current academic year (i.e. accreditation, strategic planning, assessment planning, etc.), workshops for Banner and grade keeping systems, and introductions between new and old faculty and staff members (AF-6-4).
3. *The IEP*: faculty and staff are given a general position description and specific semester schedule of tasks, introduced to general expectations of the department, introductions to colleagues, professional development expectations, service requirements to the University/program, evaluation process, and disciplinary guidelines (AF-6-5).

**Duties and Responsibilities**

The job descriptions of all faculty and staff are created by the Department in accordance with the policies and procedures outlined by the Human Resources Department. The job description outlines essential duties and responsibilities as well as the knowledge, skills and abilities required (see advertisement for faculty AF-6-6). All standard job descriptions for all classifications are available in the Operations Manual (Appendix A, pp. 253-265) and in the Human Resources Department. All faculty and staff in the IEP are supervised by the Director. The Director is responsible for interviewing, hiring, monitoring, scheduling workflow, approving leave requests and taking disciplinary action. Actions related to the human resources function are performed in conjunction with the Director of Human Resources or designate.

Amendments or changes to specific duties and responsibilities within the job descriptions of faculty or staff drafted by an administrator, faculty member, or committee must include the justification and the rationale, and then presented to the President by the Director. This includes promotion from the rank of Instructor to Senior Instructor. The President’s decision is announced via email to all interested parties on larger issues or to the individual on smaller issues. The change of job description is presented to Human Resources for the personnel file. All job descriptions are approved by the Director of the IEP and the Director of Human Resources, and signed in acceptance by the employee (F-6-4).

Section B 1) documents in the report

Sample Job Description Assistant to the Director (Operations Manual Appendix A pp. 263-264)	AF-6-1
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Sample International Hire Contract (Operations Manual Appendix B pp. 297-300)	F-6-2
Sample local hire contract (Operational Manual Appendix B pp. 281-284)	AF-6-3
Agenda Human Resources New Faculty and Staff Orientation	AF-6-3
Agenda Academic Affairs New Faculty and Staff Orientation	AF-6-4
Agenda Intensive English Program New Faculty and Staff Orientation	AF-6-5
Job advertisement	AF-6-6
Operations Manual Appendix A, Job Descriptions, p. 253-265	Appendix A
Acknowledgement of receipt	F-6-4
Operations Manual I. Reappointment: Criteria and Procedures, pp. 21-22	Appendix A

2) documents on site

Permanent staff and faculty personnel files	Human Resources
Supervisory staff and faculty file	Director's Office
Kuwait Social Service and Labor Law	Director's Office
Policy and Procedure Manual	Human Resources

Section C Performance self-appraisal

The procedures developed by the Human Resources, Academic Affairs and the IEP departments ensure that all faculty and staff are well informed about the terms and conditions of their employment. Complaints associated with the terms and conditions of employment are addressed by the Director of the IEP. Faculty and staff are encouraged to contact the Director of Human Resources directly if they have concerns that are not being addressed by the Director. Follow-up in either case would depend on the nature of the complaint. For example, faculty proposed a reduction in their teaching load. The Director presented the proposal for a reduction in teaching hours to the President's Cabinet. The President's Cabinet did not approve the reduction of the teaching load; however, they articulated their rationale for the decision back to the Director, who in turn informed faculty. A reduction in teaching load would require major restructuring of the program and courses.

The Director encourages and supports faculty and staff involvement in discussions of job duties and responsibilities. The fact that faculty and staff have input in the process and in interviews with faculty and staff, encourages general satisfaction with established duties and responsibilities.

Job descriptions are reviewed every two years by the Human Resources Department and adjusted as necessary by department directors or at the request of department directors. These adjustments may or may not have an impact upon the compensation program.

Section D Recommendations, plan of action, timeline, and persons responsible

We have no plans to make any additional changes in this area at this time.

*Administrative and Fiscal Capacity Standard 7: The program or institution defines, encourages, and supports appropriate professional development activities for faculty, staff, and administrators.*

Section A Description of current operations to show how the standard is met.

The AUK's IEP encourages professional development for all employees. The type of activity and the extent of the support vary according to job classification.

### **Faculty Support**

Faculty, including administrative faculty, have the option of participating in the University Faculty Professional Development (FPD). Professional development is defined as any scholarly activities which increase knowledge or skill and enhance teaching, instructional strategies, research or service. Professional development includes presentation, participation, or attendance at professional conference, seminar, workshop, or other academic meetings. Since professional development is designed to enable full-time faculty to engage in the philosophy of lifelong learning in an effort to support the acquisition of new knowledge for the teaching and learning environment, the IEP actively supports faculty participation (see Faculty Professional Development F-2-2).

Professional development activities are categorized in the following:

- Presentation: includes the invited or reviewed presentation of a paper, delivery of a lecture, to a professional conference, seminar, workshop, or other academic meeting.
- Participation: includes invited participation as a session chair, panel discussant, or member of a conference organizing committee at a professional conference, seminar, workshop, or other academic meeting and/or serving on a professional board or committee.
- Attendance: includes attendance at a professional conference, seminar, workshop, or other academic meeting appropriate to their academic discipline.
- Workshops/Courses: includes workshops and/or courses offered by the Center for Continuing Education on ESL pedagogy or methodology, computer skills, learning disabilities, instructional technology or any course/workshop appropriate to enhance the faculty's ability to achieve the mission of the program.

All faculty professional development requests are submitted to the Faculty Professional Development Committee if funding is needed. Applications for professional development funds must be accompanied by the following supporting documents (F-1-3):

- A letter of application noting the purpose of attending the proposed professional development activity and the goals and objectives the AUK faculty member expects to achieve.
- Notice of the professional conference, seminar, workshop, or other academic meeting.
- Correspondence with the organizers of the professional conference, seminar, workshop, or other academic meeting.
- An estimate of the costs of attending the professional conference, seminar, workshop, or other academic meeting and where appropriate the letter of invitation, acceptance or professional activity which will be undertaken at the professional conference, seminar, workshop, or other academic meeting.

AUK faculty members who receive professional development funds are expected to write a report on their activity which is to be submitted to the *AUK Chronicle* for publishing (AF-7-1).

Faculty annual reviews consider the instructor’s teaching effectiveness, service to the University, and professional development in evaluating contract renewals and/or annual raises.

**Support for Administration and Staff**

The American University of Kuwait’s Intensive English Program supports the development of its staff to enhance their contributions to the growth and development of the University and to further their careers within the University.

Professional development is critical to the mission and success of the University, but it is not an “entitlement” *per se*. Rather, professional development is a shared responsibility and effort by the staff member and his/her supervisor working within a framework promoted and supported by the University through its Human Resources Department. Professional development is integral to the staff (annual) performance assessment process.

The IEP support of professional development depends on the position and role of each staff member at the University, but generally includes (see Staff Professional Development AF-7-2):

- Purchase of training manuals and other aids.
- Presentation of in-house development programs and activities.
- Attendance at professional, educational and training conferences, seminars, workshops, etc.
- Taking of courses.
- Gaining of professional and technical certificates and licenses.
- Membership in professional associations with related professional activities.

The IEP supports the professional development of its staff in a number of ways, including:

- Providing on-the-job training and development.
- Providing release from other duties and responsibilities.
- Waiving fees for AUK courses.
- Funding staff Professional Development Funds.

Staff must complete a Request/Approval form for professional development to be considered. Staff may be required to share, as appropriate, their professional development with their colleagues. This may include:

- Preparation and distribution of reports.
- Making of presentations.

Staff annual reviews consider the overall effectiveness of all assigned duties and responsibilities, service to the University, and professional development in evaluating contract renewals and/or annual raises (see list of staff professional development AF-7-3).

Section B 1) documents in the report

Faculty professional development form (Operations Manual Appendix C pp. 315-316)	F-2-2
Sample <i>AUK Chronicle</i> (June 2008 ed. p. 12 & p. 14)	AF-7-1
Staff professional development (Operations Manual Appendix C pp. 313-314)	AF-7-2

List of faculty professional development participation	F-1-3
List of staff professional development participation	AF-7-3

2) documents on site

Permanent staff and faculty personnel files	Human Resources
Policy and Procedure Manual	Human Resources

Section C Performance self-appraisal

The IEP consistently and systematically provides support for the ongoing professional development of its teaching faculty and faculty administrators. This is demonstrated by the number of faculty attending and/or presenting at TESOL, TESOL Arabia, American Association of Popular Culture, Popular Culture Association and other major conferences.

Faculty members consider the amount of conference support positively. However, the amount of training available to instructors for computer use and application is inadequate.

The IEP supports professional development of staff vigorously. This is evident by the number of courses and/or workshops attended by the staff in the Center for Continuing Education (CCE). In addition, one staff member traveled to the United States for training on the ACCUPLACER OnLine™ system. In interviews with staff, they have indicated that they would like the allowance for the number of credit based courses offered, at no cost to staff, to be increased to more than the six credits per academic year. No agreements between departments has been reached in regards to credit hours supported by the university, therefore, there is not proposal at this time to support increasing the credit hours allowed to staff at no cost.

Overall both faculty and staff consider the professional development opportunities and support to be fair and equitable.

Section D Recommendations, plan of action, timeline, and persons responsible

We have no plans to make any additional changes in this area at this time.

*Administrative and Fiscal Capacity Standard 8: The program or institution describes to administrative and support staff clearly and in writing the performance criteria and procedures for evaluation at the onset of the evaluation period; conducts administrative and support staff performance evaluations that are systematic, regular, fair, objective, and relevant to achieving program goals; and conveys evaluation results to administrative and support staff in writing in a timely manner.*

Section A Description of current operations to show how the standard is met.

The performance appraisal systems vary according to position an individual occupies i.e., a faculty appointment or staff or professional staff.

### **Staff Performance Appraisals**

The staff performance appraisal follows the guidelines, policies and procedures set up by the Human Resources Department and/or Academic Affairs division of the AUK. All annual performance reviews are conducted in the Spring/Summer semester for faculty, staff, and professional staff.

The evaluators responsible for performance review for administrators and staff are listed below:

<b>Position</b>	<b>Job Classification</b>	<b>Performance Evaluator</b>
Director	Professional Executive Staff	President
Coordinator/Instructor	Faculty	Director
Senior Instructor/Instructor	Faculty	Coordinator/Director
Assistant to the Director	Professional staff	Director
Lab Assistant	Staff	Director/Assistant to the Director
Office/Tutor/Writing/Lab Aides	Student Workers	Director/Assistant to the Director/Lab Assistant

All faculty, staff and professional staff are afforded the opportunity to respond to the rating, comments, and/or judgment of the evaluator in writing within ten days of receipt and to have his/her comments accompany the evaluation in his/her personnel file.

### **Staff**

On an annual basis, a performance appraisal meeting is held for all staff in which the director and the staff member use the AUK Staff Self-Appraisal form and the Performance Evaluation form as a tool to discuss how well the staff member has met the performance expectation for his/her job (see policy and procedure AF-8-1). First, the staff member will complete and submit a six-question Self-Appraisal form to the Director prior to the meeting (see self-appraisal form AF-8-2). The director will complete the Annual Performance Review and then schedule a meeting with the staff member (see annual review AF-8-3). The director will discuss with the staff member the job tasks, identify and correct weaknesses, encourage and recognize strengths, and discuss positive, purposeful approaches for meeting goals. In addition, specific achievements, performance goals for the next evaluation period, and training and development suggestions may be reviewed. At the close of the meeting, the form is signed by both the director and the staff member. The original performance appraisal is given to the staff member. One copy is sent to Human Resources for the personnel file and a second copy is held in the supervisory file.

## **Faculty and Coordinators**

As stated in Faculty Standard 8, the evaluation process flows from the job description, including general consistency with appointment, to the faculty responsibilities in teaching goals, service to the program goals, and outreach goals. Faculty and faculty coordinators are evaluated by:

- The student evaluations of the course and instructor.
- The Director on their performance outside the classroom in service and outreach.
- Through classroom observations conducted at least once during an academic year.
- Through the annual faculty self-evaluation of teaching, service, scholarship, and professional development.

Each semester, Student Evaluations of Teaching are conducted for all faculty members in all courses taught. (see policy and procedure AF-8-4) The purpose of evaluation is to improve the student's learning experience, to give faculty feedback on their teaching performance, and to document the overall quality of teaching. The evaluations are conducted on-line through the student's AUK Self-Service account so as to ensure confidentiality (see SET Form AF-8-5). Students are informed that the process is important for improving the course and teaching methods, and constructive recommendations will be taken seriously. In addition, the students are reminded that faculty does not have access to the evaluations until after grades have been submitted.

In the Fall Semester, faculty and faculty coordinators receive an Instructor Performance Review (see policy and procedure AF-8-6) that measures their performance outside the classroom i.e. maintenance of student class records; fulfillment of administrative duties such as the IEP orientation; assessment and registration as required and/or requested by the Director; participation in professional development activities such as workshops and meetings; and professional communication in both verbal and written applications (see form AF-8-7).

Classroom Observations are performed on all faculty annually (see policy and procedure AF-8-8). New faculty participate in classroom observations the first two teaching semesters. Typically, the classroom observation cycle begins after the Midterm in the Spring Semester. It is the Coordinator's responsibility to contact the faculty member to be observed and to select one or more sessions for observation. The teaching session to be observed requires approval by both parties at least one week prior to scheduled observation. The type of session selected (for example, a lecture or a laboratory class) is the choice of the faculty member to be observed. The faculty member will complete the pre-observation sheet and send it to the Coordinator (see forms AF-8-9). The most important part of the process is the statement of aims and intended learning outcomes. The session will be evaluated against these statements of aims.

On the day of the observation, the Coordinator must arrive before the session commences and will typically stay for one hour. The coordinator will make notes on perceived strengths and areas for improvement, including comments on how well the session has met its intended outcomes on the Classroom Observation Checklist. Feedback by the Coordinator should be given directly after the session, or as soon as is convenient thereafter in order to discuss his or her thoughts of the faculty's performance and of the session, and what areas of improvement and/or development might be necessary. At the close of the meeting, the form is signed by both the coordinator and the staff member. The original Classroom Observation Checklist is handed to the Director for review. Copies are handed to the staff member, Human Resources

for the personnel file, and a copy is held in the supervisory file. An explicit goal of the review procedure is a process that encourages discussion among faculty on approaches to teaching, and exposure to different methods.

Faculty members complete a self-reflective Faculty Annual Report by the end of the Spring Semester (see form AF-8-10). The report records each faculty members teaching efforts and load; the scholarly; creative, and/or research efforts; service to the program, university, and/or the community; professional development; and any other appropriate information to be considered.

The full scope of activities of faculty is reviewed annually. The teaching efforts of faculty are reviewed each Spring Semester, so as to coincide with the faculty's preparation of annual activity reports. The Director completes an AUK Annual Review Form on each faculty member with information from sources such as the student evaluations, instructor performance review, classroom observations, the faculty annual report, and any activity not covered in the evaluations (see form AF-8-11).

During the latter part of spring semester, the Director holds a private meeting with each faculty member. These meetings provide an opportunity for dialogue concerning goals and perceptions. The basis for the discussion is the performance of the faculty over the course of the academic year. At the close of the meeting, the AUK Annual Review form is signed by both the Director and the faculty member. The original form is sent to the President for approval. Once approved, it is handed to the faculty member. One copy is sent to Human Resources for the personnel file and another copy is held in the supervisory file.

### **Professional Management**

On an annual basis, a performance appraisal meeting is held for the Director by the President of the University. Prior to the appraisal, the Director completes and submits the American University of Kuwait Professional Administration Self-Appraisal form and the Director Survey completed by faculty and staff (see form AF-8-12) as a means of determining the extent to which the Director has met the performance expectation for his/her job. The President, upon the receipt of the completed six-question Self-Appraisal from the Director, he/she she will complete the AUK Annual Review and then schedule a meeting with the Director (see form AF-8-13). The President will discuss with the Director job tasks, identify and correct weaknesses, encourage and recognize strengths, and discuss positive, purposeful approaches for meeting goals. In addition, specific achievements, performance goals for the next evaluation period, and training and development suggestions may be reviewed. At the close of the meeting, the form is signed by both the President and the Director. The original performance appraisal is given to the Director and a copy is sent to Human Resources for the personnel file (AF-8-14).

### **Student Workers**

Student employees are formally evaluated semi-annually, in November and in April. Supervisors explain the process in advance and schedule an evaluation meeting as per the Student Worker Handbook (see on the X:Drive). The supervisor completes the evaluation form. At the meeting, the student and supervisor discuss the supervisor's rankings of the student. The evaluation process is intended to assist the student by providing strategies for improving their performance. Supervisors maintain one copy of the evaluation for their records and submit one copy to Human Resources. In addition, the supervisor posts an evaluation ranking for the student on-line, using their Banner Self-Service account.

## Effectiveness of the Performance Evaluation Process

The evaluation process, in addition to regular assessment of program operations (administrative meetings, administrative evaluations, student input), enables the establishment of high standards for employee performance and also provides an opportunity for communications between faculty, staff, and the Director.

The effectiveness of the employee performance evaluation process is demonstrated through the following:

- The AUK Strength and Weaknesses Survey
- The low incident of faculty complaints
- The high staff and faculty retention
- The success of the program

Section B 1) documents in the report

Staff Performance Evaluation Policy and Procedure (Operations Manual Appendix G p. 405)	AF-8-1
Staff Self-Appraisal Form (Operations Manual Appendix G p. 406)	AF-8-2
Staff Annual Performance Review (Operations Manual Appendix G pp. 407-410)	AF-8-3
Student Evaluation of Teaching Policy and Procedure (Operations Manual Appendix G pp. 413-414)	AF-8-4
Student Evaluation of Teaching Form (Operations Manual Appendix G p. 415)	AF-8-5
Instructor Performance Review Policy and Procedure (Operations Manual Appendix G p. 423)	AF-8-6
Instructor Performance Review Form (Operations Manual Appendix G p. 424)	AF-8-7
Peer/Classroom Observation Policy and Procedure (Operations Manual Appendix G pp. 417-418)	AF-8-8
Pre-Observation, Classroom Observation Checklist, and Post Observation Form (Operations Manual Appendix G pp. 419-422)	AF-8-9
Faculty Annual Self-Evaluation Report (Operation Manual Appendix G, pp. 425-427)	AF-8-10
Faculty Annual Review Form (Operation Manual Appendix G, p. 428)	AF-8-11
Professional Self-Appraisal (Operations Manual Appendix G p. 429)	AF-8-12
Annual Review (Operations Manual Appendix G p. 430)	AF-8-13
Director Survey	AF-8-14

2) documents on site

Student Worker Handbook Appendix 4 p.17	X:Drive/Student Employees/Handbook
Permanent staff and faculty personnel files	Human Resources
Supervisory faculty and staff files	Director's Office
Mentor Meeting Minutes	M:Drive/Administration/Meeting Minutes/IEP

	Meetings
Faculty/staff evaluation binders	Director's Office

Section C Performance self-appraisal

Performance appraisal is an integral part of the two part goal as stated in the IEP Mission Statement. First, it contributes to the offering of exemplary English language instruction, support, and service to students by focusing on ways to improve job performance of all IEP faculty and staff. Secondly, it allows administrators to express both confidence in and appreciation of staff and faculty, which encourages a supportive work environment for our instructors and administrative staff.

The procedures in place for performance appraisal are considered satisfactory: each employee has a complete, clear and thorough understanding of the criteria for evaluation, and the process for notification and scheduling of meetings. Satisfaction with our process is also supported by the lack of complaints (e.g., employees refusing to sign forms or direct/indirect complaints to the director). Furthermore, the Director's Performance Survey distributed to faculty and staff has an overall rating of 3.7 on a scale of 4. These ratings are shared with, and made available to, staff and faculty.

Section D Recommendations, plan of action, timeline, and persons responsible

No changes are recommended in the current policies.

*Administrative and Fiscal Capacity Standard 9: The program or institution has a plan, in writing, for program development, including planning, implementation, and evaluation.*  
Section A Description of current operations to show how the standard is met.

The process for program development differs, depending on whether the focus is on new or the on-going program development (AF-9-1).

### **Program Development**

Program development within the IEP is guided by the Academic Program Review Policy and Procedure (AF-9-2). The basic components of academic program review are the following:

- A self-study, recommendations, and an implementation plan completed by the faculty associated with the program and, in some cases, an external evaluation (for IEP, the external evaluation is the English Department).
- Review and recommendations by the program or college.
- Review and recommendations by the University Program Review Committee.
- Review, recommendation and approval by the Dean/Director and the President.
- Final approval by the Board of Trustees.

Program development review for existing programs consists of the following steps (see Academic Program Review AF-9-3):

1. Identification of the idea for a new program either in-house or through the President's Cabinet.
2. Discussions and research into program design possibilities.
3. Development of a written proposal by the Director with input from coordinators and other interested parties.
4. Feedback and revision of original program design.
5. Decision on whether to implement the program or not.
6. Development of a detailed plan for program implementation, including curriculum development, staffing needs, space, etc.
7. Meetings at various stages with key individuals involved in planning and teaching.
8. Evaluations by participants, generally before the midpoint of the program.
9. Implementation of necessary changes based on participants' comments.
10. Final evaluation by all participants.
11. Debriefing meeting with all faculty and staff.
12. Planning for next session of the program and report to President's Cabinet.

Each program developed by the IEP includes an extensive program evaluation by students, a de-briefing meeting by administrators and instructors, and plans for implementing changes in successive programs. Although the program is ultimately the responsibility of the Director, major decisions are based on input from all parties involved in the program (students, instructors, and coordinators) and approved by the President's Cabinet.

### **Program Development Related to Curriculum**

On-going program development usually involves changes to curriculum or to policies and procedures. The basic process for curriculum changes is described in detail in Curriculum Standard 4 and is outlined for faculty in the Operations Manual (Appendix A, pp.79-94). In IEP, most curriculum changes take place at the course level. However, in 2006-2007 a major curriculum amendment took place when IEP changed the benchmarks for admissions to the program by eliminating the beginner level of English language instruction (see Curriculum Review IEP C-4-1).

- Realization of the need for change (2006). The Ministry of Higher Education (MOHE) in Kuwait awards scholarships to Kuwaiti students to attend private universities in Kuwait (previously, the awards were given to Kuwaitis for universities outside Kuwait). The guidelines for accepting scholarship students resulted in the IEP accepting students at an intermediate level only to allow government funding. The benchmarks were adjusted for placement beginning at the intermediate level to high intermediate to advanced. The difficulty of achieving the curriculum goals set out for our course or program from the beginner level to the advanced level within the MOHE guidelines resulted in changing the entry level of the students. The curriculum was revised and standardized to meet the student needs and the agency's needs.
- Realization of the need for change (2007): The remedial English was housed in the English department until Spring 2007. The remedial course, English 090, was a three hour non-credit course for students with the appropriate TOEFL score for admission but placed in remedial English on the College Entrance Exam. The course was taught by English professors without second language acquisition training. In addition, the failure rate of students in English 101 after completing English 090 was high at 44%. The English remediation course was transferred to the IEP. The IEP expanded the English 090 from a three-credit hour course to a twelve-credit hour course and titled the course English 099. The curriculum was revised to meet the skill and production needs of the undergraduate program. The course is currently taught by the IEP faculty who are trained in second language acquisition.
- Curriculum Writing (Spring and Fall 2007): The coordinators and the faculty volunteers worked as a team to rewrite the curriculum and to develop curriculum descriptions for the new benchmarked courses. The specific changes that were made follow:
  - All three levels of IEP Oral Communications prepare IEP students to take notes, and present information orally. In addition, all three levels would increase the students' academic vocabulary, refine grammar, improve speaking skills and develop listening skills. The course objectives are currently almost the same in all three levels; however, the learning outcomes differ in difficulty and expectations.
  - With small but significant differences, the course objectives for all levels of IEP Reading and Writing are the same: all courses focus on (a) instilling in students the reading skills necessary for them to execute the response-to-written-text writing activities that remain at the core of university work and on (b) practicing incrementally those types of writing activities. However, it is in the student learning outcomes that the gradations from level to level become apparent.
- Implementation (Fall 2007): The new courses were offered for the first time.
- Evaluation: Regular curriculum surveys measure instructor satisfaction with the new curriculum; minor changes resulted from the suggestions made in these surveys.

### **General Program Development**

Change is ongoing in our program (e.g. admissions policies, orientation and registration schedules, release-time positions, etc.) as part of the fine-tuning intrinsic to the organizational structure of the AUK IEP. The primary venue for discussing program and curriculum development and change is in the bi-weekly administration meetings. For campus-wide program and curriculum development, the venue for discussion is the monthly Director's Group meetings or the weekly President's Cabinet meeting. Discussion may also take place

in sub-groups (such as faculty meetings or staff meetings). If changes impact instructors, they are kept informed via email and in general meetings.

Section B 1) documents in the report

AUK Business Plan (X:Drive/President)	AF-9-1
Academic Program Development Policy and Procedure (Operations Manual Appendix H p. 453)	AF-9-2
Academic Program Review Policy and Procedure (Operations Manual Appendix H pp. 454-458)	AF-9-3
Operations Manual Appendix III Curriculum Guidelines pp. 79-94	Appendix A
IEP Curriculum Review Policy and Procedure (Operations Manual Appendix I Curriculum Review Policy, pp. 504-505)	C-4-1

2) documents on site

IEP Annual Report 2004-2008 Curriculum review/implementation, and changes	Director's Office
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Section C Performance self-appraisal

In all areas of program development (new programs, curriculum, and general program development) the IEP uses a systematic and effective procedure that enables the program to be responsive to new ideas and to changing student characteristics while ensuring changes are carefully thought out and achievable.

Section D Recommendations, plan of action, timeline, and persons responsible

No changes are recommended in the current policies.

*Administrative and Fiscal Capacity Standard 10: Operational policies are developed and evaluated by appropriate individuals, disseminated in writing to all who are affected by the policies, reviewed regularly, and implemented in a timely, fair, systematic, and ethical manner.*

Section A Description of current operations to show how the standard is met.

Policies impacting the IEP may be initiated internally or externally (SS-9-1).

### **University Standing Policy and Procedure Committees**

Policies that are generated externally (because of Ministry of Higher Education, Private University Council, or University policy changes) are announced by the Director and discussed in meetings (administrative or program) and/or by email, the AUK Chronicle (administrative newsletter), or the AUK Voice (student newspaper).

The IEP is part of Academic Affairs; therefore, the shared policies and procedures for undergraduate faculty/courses and the IEP faculty/courses are reviewed by the Academic Affairs Policies and Procedure Committee (PPC).

This Committee is charged to develop procedures for the implementation of academic policies, prepare recommendations for changes in academic policies as needed, and coordinate the implementation of academic procedures so as to ensure that a reasonable consistency in its administration throughout the University is accomplished. The members of the committee include at least one faculty member from all divisions and an IEP faculty member. PPC is advisory to the Dean of the College of Arts and Science and, to the University senior administration and community.

The Administrative Policy and Procedure Committee (APPC) is charged to develop procedures for the implementation of administrative policies, prepare recommendations for changes in administrative policies as needed, and coordinate the implementation of administrative procedures so as to assure that they are administered throughout the University with reasonable consistency. The members of the committee include directors, administrators, undergraduate faculty and/or division heads, and staff from all departments and an IEP administrator. APPC is advisory to the President's Cabinet and, to the University senior administration and community.

The process for the development of shared policies is as follows (AF-10-1):

1. Proposed policy or substantive policy change is initiated by owner
2. Owner completes and submits policy plan to APPC
3. Owner discuss policy statement, reason, and policy plan with APPC
4. PPC recommends to continue or not
5. Owner consults and completes policy
6. Submission to APPC for discussion with policy owner
7. Controversial policy drafts are sent to President's Cabinet, otherwise
8. Post draft policy on the X:Drive for 30-days for public comments and/or send soft copies to all parties concerned
9. APPC approves
10. President's Cabinet and Executive Board approves
11. Communicate, educate, and train targeted groups on policy through a variety of channels and venues such as meetings
12. Communicate policy broadly to the University through a variety of channels and venues such as faculty Assembly
13. Monitor compliance, measure effectiveness, evaluate feedback, and review regularly
14. Monitor and facilitate review schedules (minimum every 3 years)

For example, during the 2006-2007 academic year, the Dean of the College of Arts and Sciences initiated a proposed policy change for the Appointment, Reappointment, and Promotion Policy and Procedure. A draft of the policy plan was submitted to the PPC for review and feedback. The policy outlined criteria for promotion from instructor to senior instructor. The committee recommended the statement under Section 2.c. Procedure for Promotion to Senior Instructor which stated "Promotion to the rank of Senior Instructor is initiated by nomination from the academic supervisor (Division Head or Program Director) be changed to "Promotion to the rank of Senior Instructor is initiated by self-nomination or nomination from the academic supervisor (Division Head or Program Director)." In addition, the committee recommended the insertion of "creative activity" in Section 2. Criteria for Promotion for the undergraduate faculty to read "Effective teaching and scholarship/research/creative activity/service in the field at AUK are the primary factors in promotion decisions." The recommendations were forwarded to the Dean of the College. The policy was posted on the X:Drive for faculty for public comments and emailed and hard-copied to faculty. The PPC reviewed all comments and submitted the final draft to the Dean. The Dean approved the proposed changes and submitted the policy to the President's Cabinet. Both the President's Cabinet and the Executive Board approved the policy.

The approved policy was communicated to the IEP faculty by the Director in the Spring 2007 general meeting. The faculty was made aware of the procedure for promotion from the rank of instructor to senior instructor per the policy. The policy was inserted into the Operations Manual.

The Dean of the College of Arts and Science distributed the policy university-wide through the \_ALLSTAFF email. In addition, during the spring faculty assembly, the Dean communicated the criteria and procedure for promotion of rank. The floor opened for faculty questions and both the Dean and President clarified and responded to faculty's inquiry. The policy was inserted on the X:Drive folder Approved Policies and Procedures.

### **IEP Policy and Procedures Development**

Internal policies within the IEP are normally unique to our program and, therefore, the policy is not a university shared policy. Internal policies are usually generated in response to specific situations or needs. The issue is discussed and ideas are generated by both instructors and administrators. The proposed policy plan is drafted and discussed further. The final policy is approved by the Director and submitted to the President for university approval. The policy is then included in the next version of the Operations Manual.

In summary, the general process for creating or revising policies within the IEP is:

1. Identification for the need for a policy or the revision of an existing policy.
2. Preparation of a policy plan.
3. Formal discussion with the policy owner.
4. Draft of policy.
5. Posting of the draft on the M:Drive for 30-days for comments and/or email to faculty and staff.
6. Discussion by all interested parties in meetings.
7. Final draft submitted to Director for approval.
8. Approved draft submitted to President's Cabinet for authorization.
9. Inclusion of policy in Operations Manual.
10. Communicate, educate, and train targeted groups on policy.
11. Monitor compliance, measure effectiveness, evaluate feedback, and review regularly.
12. Monitor and facilitate review schedules (minimum every 3 years).

For example, during the Fall 2005, the Director of the IEP reviewed the Academic Curricula Review and Approval Policy and Procedure and discovered that the policy and procedure for the undergraduate program would not meet the unique needs of the IEP curriculum. The Director with the assistance of the coordinators prepared a policy plan for Curriculum Review IEP. The plan was discussed in the administrative meeting and during an ad hoc faculty meeting. Feedback and suggestions from all interested parties were incorporated in the draft of the policy. The draft was emailed to all faculty for a final review. At the Spring 2005 general meeting, the Director opened the floor for a discussion and responded to questions by faculty. The final draft was approved by the Director and forwarded to the President for authorization. The President authorized the policy.

Notification of approval was sent to the faculty by email and inserted in the Operations Manual.

Section B 1) documents in the report

Policy on Policies (X:Drive/Policies and Procedures/Approved Policies and Procedures)	SS-9-1
Flowchart of Policy Approval	AF-10-1

2) documents on site

Approved policies and procedures	X: Drive/Policies and Procedures/Approved Policies and Procedures
Draft policies and procedures	X: Drive/Policies and Procedures/Approved Policies and Procedures
Discontinued policies and procedures	X: Drive/Policies and Procedures/Approved Policies and Procedures

Section C Performance self-appraisal

The IEP process for the creation, dissemination, implementation and evaluation of policies has been in place for the past two years. The strength of the program's process lies in its transparency and feedback opportunities that are extended to faculty during the development stages. The administration team is composed of faculty with dual appointments and full-time administrators. Additionally, policy plans are announced and discussed in general meetings. Comments and feedback are encouraged at all stages which can be confirmed by the posting on the program M:Drive and/or the emails sent to faculty. There have been no complaints from faculty about the process.

Section D Recommendations, plan of action, timeline, and persons responsible

There are no plans for any changes in this area.

*Administrative and Fiscal Capacity Standard 11: Administrators ensure that there are means for the exchange of information among those who need it.*

Section A Description of current operations to show how the standard is met.

The IEP has developed a vertical and lateral approach toward information exchange. The mechanisms established are broad and holistic and optimize transparent and effective communication. They include the following:

AUK Chronicle	The AUK Chronicle is the publication of our employee newsletter: a forum for sharing positive news and information about AUK plans, faculty and staff achievements, as well as campus programs and events. It elaborates on faculty participation in conferences, publications, presentations, promotions, etc.
Townhall Meeting (AF-11-1)	Each semester the Student Government Association sponsors a Townhall Meeting in which administrators from all departments and divisions address and respond to student concerns, issues, or complaints.
AUK Voice	The student newspaper is distributed twice a semester. It contains announcements, articles of interest, student activities, etc.
Faculty Orientation and In-Service Days	Prior to the commencement of the academic year, Academic Affairs sponsors a three-day orientation and in-service days. Informational meetings are held in the morning and professional development or workshops in the afternoon.
Administrative Meetings (AF-11-2)	Held every other week – Announcements and discussions of policies and issues. Minutes are posted on the M:Drive.
Curriculum Skills Meetings (C-4-2)	Held every other week. Discussion on the successes/challenges of the learning materials and/or assignments. Minutes are posted on the M:Drive.
Bulletin Boards	Announcements and reminders posted on the bulletin boards in the classroom, IEP labs, and in the hall of central campus.
General Meetings	Held at least twice a semester by the Director to inform faculty of new policies, calendar, exam schedule, exit exam schedule, and/or other issues.
Midterm and Final Exam Meetings	The coordinators meet with faculty teaching either the reading and writing or the oral communications to develop common Midterm and Final exams. The meetings are normally held four weeks into the semester for the midterm and ten weeks into the semester for the final.
Open House	Each year, AUK sponsors an event to introduce the community and the family of AUK students to a “Taste of AUK.” The event offers the student, the student’s family, and the community an informal venue to meet with professors, instructors, and administrators to address concerns.

Group IEP Email	All University policies sent to the Director that impact the IEP faculty, administration, or staff are forwarded to all stakeholders in the IEP group email.
M:Drive	The network drive was established for the IEP to house learning materials, minutes, syllabi, exams, quizzes, grade-keeper, language placement exam scores, etc. in order to provide access to faculty and staff to matters related to the program.
Operations Manual (Appendix A)	Operations Manual published annually on the M:Drive and is updated online as needed.
AUK Strengths and Weaknesses Survey (AF-2-4)	Evaluation of the administrative functions of the IEP administered annually. Results are discussed at the administration meetings and information about duly noted items or action plans are announced via the IEP Group email.
AUK Announcements Bulletins (AF-11-3)	Weekly bulletins sent by email and posted on the website that announce student and faculty activities such as workshops, presentations, sporting events, musicals, American Corner, and other campus wide-events.
Notices from IEP Coordinators	Changes that immediately impact faculty are communicated in the form of notices sent via email or hardcopy in faculty mailboxes.
MyAUK	AUK portal provides for all member of the AUK community that houses copies of all campus-wide announcements, the <i>AUK Voice</i> , the <i>AUK Chronicle</i> , the University and institutional calendar and all events, visitors, conferences, etc. sponsored by AUK.
AUK Website	The Website posts the latest AUK news and events, the exam calendar, the academic calendar, a pop-up window with current campus-wide events, etc. The Website is updated continuously.
Faculty Mailboxes (cubby holes)	All important IEP announcements (such as a policy change, exam dates, exit exam dates, etc.) are inserted into the faculty cubby holes in hardcopy.

Section B 1) documents in the report

Townhall Meeting	AF-11-1
Administrative Meetings (M:Drive/Administrative/Meeting Minutes/IEP Minutes)	AF-11-2
Minutes of Curriculum Meeting (M:Drive/Administration/Meeting/IEP Meeting)	C-4-2
AUK Strengths and Weaknesses Survey (Operations Manual Appendix P p. 689)	AF-2-4
AUK Announcements Bulletins	AF-11-3
Operations Manual	Appendix A

2) documents on site

MyAUK Portal	<a href="https://MyAUK.auk.edu.kw">https://MyAUK.auk.edu.kw</a>
Interviews with students and staff	

Section C Performance self-appraisal

The faculty and staff have stated that they are satisfied with the amount of internal information provided. During the self-study process, we determined that we were not receiving timely information from the support departments of AUK. The issue was addressed at the President’s Cabinet meetings. Consequently, an invitation was extended to the IEP Director to become a member of the President’s Cabinet in order to improve upon the efficient and effective flow of information.

Section D Recommendations, plan of action, timeline, and persons responsible

There are no plans for any changes in this area.

*Administrative and Fiscal Capacity Standard 12: The program or institution documents that it is in compliance with all local, state, and federal laws as well as with any applicable institutional regulations.*

Section A Description of current operations to show how the standard is met.

### **Compliance with the laws and regulations**

The Director of Human Resources and the Director of the Intensive English Program have the responsibility of ensuring all policies governing the hiring practices the IEP are adhered to. Additionally, the Director of the IEP is accountable for ensuring new hires and/or faculty and staff moving into new positions are oriented and trained so that they are aware the laws and regulations impacting their jobs (e.g., Kuwait Social Services and Labor Law's (AF-12-3); Law no. 34 of 2000 on the "Establishment of Private Universities: in the State of Kuwait [Article 6] stating private universities/colleges and branches of foreign universities shall abide" (AF-12-2); and Kuwait: Law no. 1 of 1999 on Alien Health (SS-5-1). The Kuwait Labor Law and the Health Insurance Law are documented in the Operations Manual whereas the Segregation Law appears in the Operations Manual and in all syllabi.

The Office of Human Resources has the responsibility and knowledge necessary to comply with the laws of pertinent governing agencies (Ministry of Immigration, Ministry of Interior, Ministry of Social Affairs and Labor, etc.) charged with the issuance of the commercial visas (for entry), residence and work visas, driver's license, and the national civil identification card for faculty, staff, and students. The Ministry of Social Services and Labor verifies and enforces compliance with the University's application of the rules and regulation of the ministry in regards to the issuance of work visas.

The American University of Kuwait is compliant in following the regulations set forth in the Amiri Decree 139 license (AF-1-2) to the United Education Company (Kuwaiti Shareholders Company Closed with Limited Liability) regarding the creation of a private university, and the development of specific academic programs. The decree also specifies the role of the Board of Trustees, the University's relationship with the Private University Council, its fiscal operating year, and the expected contribution to Kuwaiti society. Evidence of compliance is through accreditation.

The American University of Kuwait is in compliance with the local accrediting body for Private Universities and Colleges, the Council for Private Universities (PUC) which is supervised by the Ministry of Higher Education. AUK's compliance is evident by securing its initial accreditation in 2006 (AF-1-3), and its re-accreditation (AF-1-4) in June 2008. The initial accreditation and renewal is based on a two year cycle, and shifts to three-year cycles accordingly. Local accreditation through the PUC proves that AUK meets operating and educational standards as defined by the Council which determine the standards necessary for effective operations in areas such as facilities, human and fiscal resources, university policies and procedures, ethical business and academic practices, curriculum, programs and services.

The individuals responsible for legal compliance are as follows with the President being ultimately responsible.

- Dr. Marina A. Tolmacheva, President
- Mr. Ernest E. Conklin, Executive Director of Finance and Administration
- Dr. Carol Ross-Black, Dean of Student Affairs
- Dr. Nizar Hamzeh, Dean of Academic Affairs

In the IEP, the Director is responsible with ensuring compliance with applicable laws or University policies governing the university. For example, the IEP uses John Langan's *Ten*

*Steps to College Reading from the Townsend Press* (2004) textbooks series in the reading and writing courses, therefore, the IEP requested permission to copy chapters from the textbooks (see Kuwait copyright Law No. 4, 1962 (AF-12-3) when our textbooks did not arrive on time. Townsend Press sent the IEP PDF copies of the textbooks to use in lieu of copying from the textbook.

### **Compliance, Citations, Legal Action**

The program and the institution during the last five years have had no cases of non-compliance with the applicable laws or policies governing the University or the IEP. In all legal matters, the American University of Kuwait has abided by all laws and regulations prescribed by the State of Kuwait.

Over the past five years we have had three (3) lawsuits filed against AUK and/or the IEP. Judgment was reached in two cases:

1. David Oliver vs. United Education Company (In its capacity of the Owner of the American University) was filed 21 December 2004.

Mr. Oliver was terminated by AUK due to health reasons and his inability to perform his functional duties and his repeated absence. The court agreed that AUK had the right to terminate the employment of Mr. Oliver per the terms and provisions of the employment contract. Mr. Oliver sued for KD 15,685.931. Consequently, the court agreed that complainant was due KD 1161.511 for the notice period compensation per the employment contract; that complainant was due a prorated end of service benefit of KD 282.115 per the employment contract; and that complainant was due KD 253.050 for airline ticket costs per the employment contract, plus KD 20 for attorney's fee. AUK paid the total of KD 1716.676 to Mr. Oliver without objection, for these amounts were very close to the amounts already calculated as the final pay for Mr. Oliver.

2. James Stone vs. United Education Company (In its capacity of the Owner of the American University) was filed 24 July 2005.

Mr. Stone began employment with the American University of Kuwait on 01 August 2004, and was terminated effective 11 June 2005 for violation of the Code of Conduct, specifically a compiling of problematic, unprofessional behavior. Mr. Stone claimed wrongful termination and requested compensation for salary that would have been earned to the end of his contract (31 July 2006) plus notice period; annual leave benefit balance; cost of airfare for himself and his dependents; housing, furniture, and transportation allowances that he would have received to the end of his contract; and compensation for mental health damage suffered because of the employment termination action. The court did not agree with Mr. Stone's complaint but did agree to some of the compensation requested, specifically the notice period, annual leave, and the cost of airfare for himself and his dependents. AUK did not object to the amount and paid Mr. Stone the KD 7914.458 ordered by the court plus court charges for a total of KD 8132.320.

One lawsuit is pending:

1. Linda Raye Sue vs. United Education Company (In its capacity of the Owner of the American University) was filed in May 2007.

On 31 August 2006, Ms. Sue completed a two-year employment contract with AUK as an Instructor. She accepted a subsequent three-year employment contract beginning 01 September 2006. On 04 April 2007, Ms. Sue's employment contract

was terminated by AUK for cause per the Caveat paragraph of the employment contract: “Early termination of this three-year contract by AUK is subject to acts of professional malfeasance, violation of academic integrity and gross negligence of responsibilities by the appointee...” Additionally, Ms. Sue was found in violation of Paragraph 2 of the AUK Code of Ethics by AUK management. Also, on this date, Ms. Sue accepted final payment from AUK of KD 3956.844. Ms. Sue, in accepting this payment, acknowledged that it encompassed “all” of her entitlements from AUK. However, in the case that Ms. Sue has filed, she is requesting additional payment that includes an amount equal to what she would have earned if her period of performance had ended on 31 August 2009. After a couple of hearings by the Kuwait Court system, and numerous scheduled hearings and delays from non-attendance by the complainant, the case has been scheduled for another hearing on 04 September 2008 in the Court of Experts to hear witnesses to be presented by the complainant. Once again the complainant did not appear, thus, this case is still pending final judgment.

Section B 1) documents in the report

Kuwait Social Services and labor Law (Operations Manual Appendix O pp. 674-676)	AF-12-1
Kuwait Segregation Law (Operations Manual Appendix F p. 401)	AF-12-2
Kuwait: Law no. 1 of 1999 on Alien Health	SS-5-1
Amiri Decree 139 Operating License June 2003 (translation)	AF-1-2
Private University Council Accreditation (initial accreditation 2006)	AF-1-3
Private University Council Re-accreditation Authorization (2008)	AF-1-4
Copyright Policy (Operations Manual Appendix H pp. 466-467)	AF-12-3

2) documents on site

Policy and Procedure Manual	Human Resources
Lawsuit David Oliver	Human Resources
Lawsuit James Stone	Human Resources
Lawsuit Linda Raye Sue	Human Resources

Section C Performance self-appraisal

The American University of Kuwait’s Intensive English Program commitment to compliance with all local laws and regulations as well as University policies is clearly documented in our policies, procedures and actions.

The following regulations appear in the Operations Manual and in other publications within the University (e.g., syllabus, New Faculty Orientation, etc) to ensure faculty and staff are aware of not only the regulations but their rights:

- The Kuwait Social Service and Labor Law
- The Segregation Law
- The Alien Health Insurance Law

The IEP is has developed a system of quality controls which includes but is not limited to regular monitoring of policies and procedures, comparison of online versus hardcopy data and information, and semester and annual data analysis. For example, in reviewing the Kuwait Social Service and Labor Law for the self-study, the IEP determined and submitted a report to the President’s Cabinet outlining AUK’s failure, according to the Labor Law Chapter 10 Article 49, to post in conspicuous places a penalty list of work-related infractions which may be inflicted on the violating laborer in accordance with the rules specified in Article 51 and the decisions made by the Ministry of Social Affairs and Labour. The

President's Cabinet passed a decision to contact legal counsel in order to assure compliance with Kuwait Labor Law. In Fall 2008, the University implemented all necessary compliance procedures including but not limited to necessary postings and appropriate documentation of employee infractions, and/or termination procedures.

In summary, the IEP is in full compliance with all local laws and regulations as well as the American University of Kuwait's policies.

Section D      Recommendations, plan of action, timeline, and persons responsible

No recommendations at this time.

*Administrative and Fiscal Capacity Standard 13: All financial, student, personnel, program, governmental, and contractual records are maintained and kept current, accessible, complete, accurate and, when appropriate, secure. Reporting is done ethically and in compliance with the law.*

Section A Description of current operations to show how the standard is met.

### **Student Records**

There are two types of educational records kept on students attending the AUK's IEP.

*Student Permanent Record File:* student's permanent records are the responsibility of the Office of the Registrar. Permanent student records are housed and managed by the Registrar:

- Hardcopy file of all admission and registration documents includes but is not limited to
  - High school transcripts and GPA
  - Previous college or university transcripts
  - Testing scores ( SAT/ACT, TOEFL, IGCS, IELTS);
  - Scholarship application
  - Registration forms completed by student and/or faculty
  - Final transcript for AUK
- Banner Student (data-base records management system) includes but is not limited to
  - Placement information (LPT, TOEFL, IELTS, IGCS, etc.)
  - Registered history
  - Midterm and Final grades
  - Accumulative GPA
  - Tuition payments
  - Advising records

The student information entered into Banner is available to students, instructors, advisors, counselors, and the Director. Students have direct access to their records through Banner Self-Service. Instructors have access to student information only for those students registered in their courses. Academic counselor/advisors in the Student Success Center (SSC) have access to all student information needed to adequately counsel and advise students. The Director of the IEP has access to all student records.

*IEP Student Academic File:* a student file created for students registered in the IEP

- Instructor/student course work assignment file (completed assignments, portfolios, Midterm and Final exams, and quizzes and tests)
- Grade-keeper record of all graded assignments (Class Action)

The student assignment file is held for two semesters after the completion of the course and then destroyed. The student assignment file contains class assignments, quizzes, exams, performance contracts and early warning forms. The Grade-Keeper records are permanently recorded on the M:Drive. These files are internal to the department and, therefore, not accessible by students without the Director's or instructor's consent.

Information pertaining to students' grades, performance and progress can be used in advising and counseling students on their current program and on the transfer to a future program. Any notes by advisors and/or counselors involving emotional or personal issues are documented on Banner Self-Service but are confidential and for the use of the advisor and/or counselor only or for referral. This information is not released to anyone, including the student.

## **Personnel Files**

All permanent personnel files are kept and secured by the Human Resources for all employees of the IEP (faculty, staff, administrators, student workers) including:

- Employee's application material to the AUK
- Transcripts from colleges and universities
- Letters of recommendation
- Contract of employment
- Performance evaluation and leave forms
- Teaching statements and philosophy
- Faculty annual review
- Semester-based cumulative student evaluation of teaching reports if/when applicable

In addition, the employment information is entered into Banner Human Resources data-base management system. Banner Human Resources include but is not limited to:

- Application information
- Biographical and demographical information
- Benefits and deductions
- Pay information
- Job summary at AUK
- Leave balances
- Committee service

All faculty and staff have access to their records on Banner Human Resources through Banner Self-Service. Each employee of the AUK can request access to view his or her hardcopy personnel file through Human Resources.

The Director of the IEP maintains a supervisory file in the department for all staff, faculty, and student workers. The file contains the employee's resume and educational history, evaluations, disciplinary action (both formal and informal), personal data, and any relevant documentation created within the department. The files are kept secure and confidential for the use of the Director only. Upon voluntary termination of an employee, the supervisory file is shredded; whereas upon involuntary termination, supervisory files are kept for five years.

## **Release of Information**

The AUK partially adopted the Family Education Rights and Privacy Act of 1974 (FERPA) rules regarding student privacy. However, some of the regulations within FERPA had to be adapted to meet local laws and customs, resulting in some modifications and relaxation of the privacy regulations. For instance, parents may be given information without consent of the student.

The student directory information is not considered confidential and may be disclosed without student consent. It includes:

- Name
- Address
- Phone number and email address
- Dates of attendance
- Degree(s) awarded
- Enrollment status
- Major field of study

The non-directory information is released to organizations or individuals with the prior written consent of the student. Further, faculty and staff can access non-directory information only if they have a legitimate academic need to do so. Non-directory information may include:

- Student identification number
- Transcripts and grade reports

No information within an employee personnel file is released to an outside organization or individual except when an employee asks for a recommendation, or as required by various Kuwaiti government agencies, or during litigation as required by Kuwait law.

### **Responsibility for Records**

Responsibility for establishing and maintaining permanent student files rest with the Office of the Registrar. The files in the Registrar’s office are released only to faculty and staff who have a legitimate academic need to review the file.

The establishment and maintenance of academic student files in the IEP is the responsibility of the Director. The Assistant to the Director generates the student folder and the instructor creates the Grade-Keeper record on the M:Drive with the assistance of the Director and/or Coordinator. Staff and faculty have access to the academic student files.

Personal student information such as phone numbers, emergency contact, and addresses are updated by the student on AUK Self-Service.

All employee personnel files are established, maintained, and secured by Human Resources. Faculty and staff may access and view their permanent personnel file by making a request to Human Resources. The Director may access and view the personnel files of the faculty and staff within his/her limit of authority through a request to Human Resources.

Personal employee information such as phone numbers, emergency contact, and addresses are updated by the Human Resources (AF-13-1).

### **Storage and Retention Information**

Record Maintenance has been established by the Academic Affairs File Maintenance and Retention Policy and Procedure (AF-13-2) for the storing, retention, and destruction of information. Departments may also develop specific retention schedules for specialized records that may not fall within the Academic Affairs schedule. The IEP has its own retention schedule (AF-13-3) that is used in conjunction with the Academic Affairs retention schedule.

All IEP-generated student assignment files are stored in the IEP Lab in locked closets. The Assistant to the Director has access to the key and must have permission from the Director to allow faculty or staff access to the storage area.

Section B 1) documents in the report

Personal Data Form	AF-13-1
Academic Affairs File Maintenance and Retention Policy and Procedure (Operations Manual Appendix H, Shared Policies and Procedures pp. 433-434)	AF-13-2
IEP File Maintenance and Retention Schedule (Operations Manual Appendix H, Shared Policies and Procedures p. 435)	AF-13-3

2) documents on site

Class Action grades folder	M: Drive/
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	GradeKeeper/ (faculty name)/Semester
IEP storage area	Central Campus/ RoomsC003 and C004 and Science Building/ 3rd Floor Utility Room

Section C Performance self-appraisal

The IEP follows the records polices of the University and no recorded problems or weaknesses regarding record keeping processes and procedures have occurred.

During the self-study, a suggestion was made to color-code each inactive student file containing the students' individual assignments, quizzes, mid-term and final exams, and portfolios; therefore, making it easier to determine which files could be destroyed. Colored stickers placed on a file would designate the semester the file became inactive. The color scheme would repeat itself every two years facilitating the date in which an inactive file could be shredded. It was decided that during the Summer 2008 Semester, student workers completed color-coding (different color for each semester) student files.

Section D Recommendations, plan of action, timeline, and persons responsible

No changes are planned at this time.

*Administrative and Fiscal Capacity Standard 14: All contracts are in compliance with the law and in keeping with policies of the larger institution, where applicable. Contracts are drafted with appropriate guidance, have undergone appropriate review, and are authorized by the appropriate individual(s).*

Section A Description of current operations to show how the standard is met.

All letters of offer/agreements/appointment and contracts for employment in the IEP are drafted by Human Resources and comply with guidelines stipulated in the Kuwait Social Service and Labor Law Chapter IV Article 12, 13, 14, 15 and 16 as well as University policies and procedures. In addition, contracts are reviewed by legal counsel prior to implementation. International hires (mostly faculty and professional) receive a contract of employment for three years whereas local hires receive an unlimited contract period. All contracts are approved and signed by the President (F-6-1. No lawsuit or complaints have been filed regarding the letter of offer or contracts for employment.

Section B 1) documents in the report

Operations Manual Appendix B Contracts pp. 271-308	Appendix A
Sample Letter of Offer (Operations Manual Appendix B pp. 269-270)	F-6-1

2) documents on site

Kuwait Social Service and Labor Law pp. 17-18	Director's Office
Policy and Procedure Manual	Human Resources

Section C Performance self-appraisal

All contracts and letters of offer/agreement/appointment that the IEP initiates are in compliance with the AUK policies and the applicable Kuwait Social Service and Labor Law.

Section D Recommendations, plan of action, timeline, and persons responsible

No changes in this area are planned at this time.