

## **Chapter I**

### **HISTORY AND LEGISLATIVE FOUNDATION**

#### **A Brief History of the Cagayan State University**

As representative of the Province of Cagayan in the Interim Batasang Pambansa, then Minister (later Senate President) Juan Ponce Enrile drafted the Charter of the Cagayan State University that was signed into law as Presidential Decree No. 1436 by President Ferdinand E. Marcos on June 11, 1978. Except for provisions on the composition, powers and selection of the members of the governing board, the Charter has since remained unchanged.

The Charter consolidated existing post-secondary institutions, converting them into a single legal entity. These were the Cagayan Valley College of Arts and Trades at Tuguegarao, the Northern Luzon State College of Agriculture at Piat, the Aparri Institute of Technology, the Cagayan Valley Agricultural College at Lal-lo, the Bukig National Agricultural and Technical School in Aparri West, the Sanchez Mira Rural Vocational School, the Western Cagayan School of Arts and Trades at Lasam and the Gonzaga National Agricultural and Technical School. It is this fact that explains the present operation of campuses of the Cagayan State University: Andrews (Caritan), Piat, Lasam, Lal-lo, Aparri, Sanchez Mira, and Gonzaga. When the university commenced operations, a site in Carig was developed - to which the Central Administration of the university would later transfer from Caritan. It is the Carig site that has evolved, by Board sufferance, into the Carig Campus although the Central Administration has since returned to the Andrews Campus at Caritan.

While the university was formed from pre-existing institutions that were mainly agricultural and technical, its Charter, Presidential Decree No. 1436, made it exceedingly clear that it was the intendment of the law that the university was to provide "better service in professional and technical training in the arts, sciences, humanities, and technology and in the conduct of scientific research and technological studies". Without a doubt then and by express legislative mandate, the university was not to be an agricultural, fisheries or technological university - although these remain vital and highly crucial concerns of CSU - but a "comprehensive university", a university as that term is understood in the academic world!

Academics of note were the first university officials, headed by Dr. Manuel Corpus from the University of the Philippines, and Dr. Joselito Jara, who did a doctorate in Educational Philosophy from the University of Maryland as Vice-President for Academic Affairs. The officials of the pre-existing colleges that were consolidated into the university were designated as Campus Deans and continued to supervise their respective campuses.

It was a truly enlightened decision of the Board of Regents to authorize the opening of a College of Medicine in 1994 - the very first in the region, and an agreement with what was then the Cagayan Valley Regional Hospital (now the Cagayan Valley Medical Center) made the latter as training hospital. The first Dean was a nationally recognized neurologist-psychologist, Dr. Gilberto Gamez of the Faculty of Medicine and Surgery of the University of Santo Tomas.

Soon after, other professional courses in Engineering and Liberal Arts followed. Guided by what the National Economic and Development Authority (NEDA) has identified as priority courses of the Region, the university has always offered degree programs in the natural sciences" - Mathematics, Physics, Chemistry, Biology.

Dr. Armando B. Cortes, then Campus Dean of the Aparri Campus, succeeded Dr. Manuel T. Corpus as University President. At the time, it was the Bureau of Higher Education under the Department of Education, Culture and Sports, that superintended state universities and colleges. Prof. Monserrat Babaran was the Vice-President for Academic Affairs, and together, President Cortes and Prof. Babaran devised a classification and promotion scheme that would subsequently be adopted as a National Compensation Circular, to morph later into what is now National Budget Circular No. 461.

The academic affairs department headed by Fr. Ranhilio Aquino, Vice-President for Academic Affairs, supervised the accreditation of different programs of CSU with the Accrediting Agency of Chartered Colleges and Universities of the Philippines (AACUP) and instituted a system for the re-training and "re-tooling" of Agriculture and Fisheries Professors who no longer had enough students to teach and to enable them to teach subjects of their interest. Some programs of the university were awarded Center of Excellence status, others, Center of Development, aside from higher levels of accreditation.

The Board of Regents authorized the operation of a College of Law, offering the degree Bachelor of Laws, the second law school to open in Tuguegarao City - in fact, in Cagayan.

After President Cortes, Dr. Eleuterio de Leon was designated by then Commission on Higher Education (CHED) Chair Esther Garcia as OIC, Office of the President, a position he held for four years (2000-2004).

The College of Medicine earned recognition as the 10<sup>th</sup> leading school of medicine in the Philippines owing to creditable performance in the licensure examination. Quality medical education was available in the province at the astoundingly low cost of hardly over than twenty-five thousand per semester. The Graduate School was recognized and respected. Law flourished as well under the deanship of Attorney Leticia Aquino who upped Bar passing levels and obtained authority from the Legal Education Board to offer the degree Juris Doctor.

Dr. Roger P. Perez, was appointed in 2004 as the third University President, and immediately he set himself to work on giving the university a much-needed face-lift. The Andrews Campus was transformed - given new and striking buildings. The Administration Building was built to be reminiscent of the Acropolis and the quadrangle, appropriately called "Athena Quadrangle", the huge five-hundred million peso building, the "Athena Building". Several steps were taken to rationalize campus resources and to improve productivity. President Gloria Macapagal-Arroyo graced the inauguration ceremonies of the new buildings, and the descendants of Claude Andrews, who donated the property on which on the original buildings of the university have arisen, were present at the dedication rite. President Perez introduced the Zero-Tuition Fee scheme, and the only fees assessed of students were "fiduciary fees" - miscellaneous fees applied to specific purposes such as medical and dental

services, sports, publications and other ends. It was during the presidency of Dr. Perez that many additional academic programs were offered in the University, to include Bachelor of Science in Medical Technical Technology, Bachelor of Science (BS) in Accountancy, BS in Hospitality Industry Management, BS in Human Kinetics, BS in Information Technology, BS in Police Administration, and BS in Criminology. President Perez was assisted by Fr. Ranhilio Aquino, as Vice-President for Academic Affairs, Dr. Perfecto Vivit as Vice-President for Administration and Finance and Dr. Rogelio Matalang as Vice-President for Research and Extension. President Perez served two terms (2004-2012).

Dr. Romeo Quilang, assumed the presidency of the university in 2012. It was during this particular administration that efforts were made to revive the links with (AACUP), and to return the university's programs to the accreditation system where 92 programs were accredited in 2014 with the assistance of the Vice President for Academic Affairs and Quality Assurance Team. The university also submitted itself to ISO certification and was awarded certified status by Intertek in 2015. In the interval between the end of Dr. Quilang's tenure and the selection of new university president, Dr. Mariden Ventura-Caulan, Vice-President for Academic Affairs, was designated by the Board of Regents as OIC, Office of the President in 2016.

The presidency then passed to Dr. Urdujah Gaerlan Alvarado, a recognized scientist who had risen to the rank of Assistant Secretary of the Department of Science and Technology, Dr. Alvarado offered the university various programs of development.

Abreast with providing quality and international education standards to the youth, the university, with President Urdujah G. Alvarado at the helm, made sure to be on top of the learning echelon by subjecting itself to various accrediting agencies. Cagayan State University was awarded a 3-Stars Institution Rating by Quacquarelli Symonds (QS) Stars Rating System operated by the QS Intelligence Unit, the independent compiler of the annual QS World University Rankings. CSU became associate member of AUN-QA Network promoting quality assurance in higher education institution in the ASEAN region. The university was also awarded a Soka Friendship Award by Soka University in Japan while President Alvarado, was given the Soka University Award of Highest Honor, in recognition of the university's support to the promotion of culture, education and cause of world peace. Strengthened internationalization is evident as 6 undergraduate students were awarded grants in Canada under a student exchange program with St. Mary's University.

Cagayan State University earned an accreditation by the Professional Regulations Commission as an Accredited Continuing Professional Development (CPD) Provider which enables CSU to provide human resource development activities and support for the upgrading of skills of personnel and professionals in the province of Cagayan. On the other hand, AACUP branded CSU as the Top 6 State University in the whole Philippines in terms of highest percentage of accredited programs.

Records show the increase of published researches in internationally refereed journals and of nationally and regionally awarded extension programs resulting to the trust of funding partner agencies like DOST, DENR and DA evident in their consistent support to the present programs and projects of the university.

The Alvarado administration also saw the completion of the construction and rehabilitation of various infrastructure projects in all campuses, giving provision for learning productivity. This includes new academic and research buildings and alumni centers that attest to the reinforced academic and research atmosphere and strengthened alumni relations in the University.

Flexible learning as a trailblazing response to the challenges of COVID-19 in higher learning was conceptualized and implemented. The CSU LENS, also known as CSU Learning Environment Network System provided an avenue for synchronous and asynchronous learning ensuring that during the pandemic, no student is left behind. Despite the many challenges of the pandemic, CSU continues to fare well in its performance in the board examination making CSU as a consistent Top 1 nationwide in Medical Technology and Respiratory Therapy.

### **Preambular Provision**

**Vision:** CSU is a University with global stature in the arts, culture, agriculture and fisheries, the sciences as well as technological and professional fields.

**Mission:** CSU shall produce globally competent graduates through excellent instruction, innovative and creative research, responsive public service and productive industry and community engagement.

<b>Core Values:</b>	<b>Institutional Outcomes (Intended Graduate Attributes)</b>
<b>Competence</b>	Critical thinker Creative problem-solver Competitive performer nationally, regionally and globally
<b>Social Responsibility</b>	Sensitive to ethical demands Steward of the environment for future generations Social justice and economic equity and advocate
<b>Unifying Presence</b>	Uniting theory and practice Uniting strata of society Unifying the nation, the ASEAN region and the world Uniting the university and the community

## **Chapter II**

### **ADMINISTRATION OF THE ACADEMIC PROGRAM**

#### **Section 1: The Academic Council**

##### **1.1. Composition**

Per University Code Article 10, states that:

“The University Academic Council shall have all the members of the instructional corps with at least the rank of Associate Professor, all College Deans and Presidents of the Faculty Association (Federated Faculty Association) in all campuses as members. Its powers and functions shall be provided for by law. The University President presides over this council.

Provided that: The Academic Council may meet, deliberate and vote by Campus when so directed by the University President; in such a case, the Campus Executive Officers shall preside, provided further that: the record of attendance, the notation on quorum, the minutes of the meeting and the resolutions made are submitted to the Vice-President for Academic Affairs. The total number of votes cast in favor or against any measure from all campuses shall be summed up and shall constitute the vote of the Academic Council.

Further, it is stipulated in Article 11 that:

“There shall be an Executive Committee of the University Academic Council chaired by the Vice-President for Academic Affairs with Director of Instruction as the Vice-Chair and the Campus Executive Officers, the College Deans, and such other members as may be elected by the University Academic Council as members. The Executive Committee shall be primarily consultative in nature, but may decide matters when so delegated by the Academic Council.”

##### **1.2. Powers**

The Council shall have the following powers:

- (1) Review and recommend the curricular offerings and rules of discipline of the university to the Board of Regents; and
- (2) Pass upon and approve modes of delivery of instruction that serve the end of accessibility while safeguarding quality benchmarked by national and international best practices.

##### **1.3. Officers**

The President of the University shall be the presiding officer of the University Academic Council; the Campus Executive Officer for the Campus Academic Council and the Dean of the concerned college for the College Academic Council.

The University Secretary shall be the ex-officio Secretary of the University Academic Council. It shall be his/her duty to issue the notices for meetings of the Council, to keep the minutes of its proceedings, and to send a copy of such minutes to the President, the Vice-Presidents, the Directors, the Campus Executive Officers and the College Deans. He/She shall also forward to each member of the Council, through the Campus Executive Officers and the College Deans, a copy of the order of business of every regular meeting at least three days in advance of such meeting.

## **Section 2: Amendments of the Academic Manual**

The provisions of the Academic Manual of the University may be amended and endorsed by the University Academic Council by simple majority vote upon approval of the Board of Regents, or by the University President subject to confirmation of the Board of Regents. Provided, however, that proposed amendment has been submitted to the Council at a previous meeting, or copies thereof have been furnished to all the members of the Council at least three days in advance.

## Chapter III

### RECRUITMENT, APPOINTMENT, PROMOTION AND ADVANCEMENT

#### Section 1: Definition of Terms

- 1.1. **The University:** means the Cagayan State University (CSU), no matter in which campus it may be found.
- 1.2. **Campus:** means any of the sites of the university as established by P.D. 1436: Aparri, Lasam, Sanchez Mira, Lal-lo, Piat, Gonzaga, and Andrews and Carig in Tuguegarao City.
- 1.3. **Part-Time:** refers to service that is rendered only partly at the Cagayan State University, and is covered by a Contract of Service (COS).
- 1.4. **Full-time:** refers to service that takes up all of the working time of the person concerned and is either permanent or temporary.
- 1.5. **College Dean:** The dean of a college in a campus who manages and supervises academic programs with particular emphasis on the promotion and maintenance of quality higher education.

#### Section 2: Faculty Responsibilities and Expectations

In the pursuit of their endeavors and in the fulfillment of their responsibilities, the faculty members are expected to:

- Be zealous and relentless in the advancement of knowledge and ethical in public service, honorable in their conduct and demeanor, as well as dignified and professional in the discharge of their duties as instructors and professors.
- Passionate about the education of their students.
- Observe intellectual honesty in their search for, use and transmission of knowledge.
- Pursue legitimate inquiry and accept objective criticism of their work, fulfill their multi-faceted roles to students, treating them with due fairness and civility.
- Keep abreast of educational issues and continuously inspire and update one's teaching methodologies.
- Maintain high standards of scholarship through research, extensive reading, attendance in seminars and conferences and membership in learned societies.

## **2.1. Instruction**

Instruction is understood to mean the process of facilitating the acquisition of knowledge and skills and the formation of values with confidence and direction, geared towards the development of the analytical and creative faculties of students. Furthermore, this includes specific tasks, such as student consultation, academic advising, and all other initiatives that facilitate the process of learning. Every faculty member is expected to:

- Target the determined outcomes of the course.
- Facilitate students' learning process by teaching them with confidence, devotion and creativity.
- Develop the higher order thinking skills of students.
- Design alternative and innovative models of teaching for all types of students: regular, gifted and those with special needs.
- Make oneself available for consultation, academic advising and other relevant functions that help improve the students' well-being.
- Manifest genuine interest in the education and development of highly competent and qualified student graduates.
- Vary teaching methodologies.
- Be involved in curriculum development and in the production of instructional materials.
- Participate actively in activities related to quality assurance.
- Be just and fair towards students, particularly in respect to the prompt submission of grades.

## **2.2. Research**

Faculty members are expected to continually expand the frontiers of knowledge through various forms of research, to include: basic and applied research, materials development, papers for local and international conferences, articles, monographs, books for publication, research/seminar papers for graduate studies, feasibility studies, creative works and other research output related to external professional activities (e.g., consultancies, etc.).

Furthermore, faculty members are expected to:

- Participate in formulating the research agenda of their colleges and of the university;



- Generate research paradigms that enhance instruction in their field of specialization;
- Engage in research dissemination and utilization;
- Encourage students to become creative, innovative and productive researchers; and
- Endeavor themselves to be always at the forefront of research in their own field of specialization through:
  - reading and studying recently published papers on basic and applied researches, materials development, feasibility studies, and others;
  - participating actively in local and international conferences;
  - publishing articles/monographs in recognized and refereed journals and magazines; and
  - developing seminar papers for graduate studies, creative works and other research outputs related to external professional activities.

### **2.3. Extension**

As an extension of their academic functions, faculty members are strongly encouraged to participate in community service in University-sponsored community extension projects or in their own community or sectoral professional organizations. Participation of faculty members in these activities is regarded as part of their professional and personal commitment to the academic profession.

To strengthen the University's institutional linkages, collaboration and networking, faculty members are encouraged to:

- Participate in the formulation of policies or quality assurance system for training package, consultancy and other related faculty services outside the university; faculty members are then expected to participate in the formulation and the execution of the extension agenda;
- Explore and develop partnership with other national and international educational institutions;
- Develop and implement program and projects on literacy, political education, environment education, multicultural education and values education;
- Immerse themselves in the concerns of a community, develop and implement programs to nurture sustainable communities; and
- Creatively bring about the interfacing of research, extension and instruction.

## **2.4. Production**

Faculty members are expected to:

- Publish and develop scholarly works in the form of: books, research articles and monographs, lectures, modules, journals and magazines, instructional materials such as tapes, videotapes and others;
- Design, develop and share multimedia courseware and resources across disciplines;
- Design and produce materials for the Performing Arts for presentation and production;
- Contribute significantly, whenever relevant to instruction, to food production and industrial development; and
- Promote and bring about the commercialization of research and instructional output.

## **Section 3: Faculty Recruitment and Appointment**

### **3.1. Policies**

- 3.1.1. Applicants to the instructional and professional corps of the university, to be considered for faculty positions, must have at least a Master's degree in the field or discipline that the instructor or professor will teach, subject to such exceptions as the rules may allow, and when required by the relevant Commission on Higher Education Memorandum Orders, Legal Education Board Memorandum Orders, or Medical Education Board Memorandum Orders must possess the professional license or eligibility unless exempted therefrom, in accordance with the law;
- 3.1.2. Appointments to teaching positions are always appointment as instructors, assistant professors, associate professors or professors of the entire university. An appointee can therefore be assigned to teach in any college or in any campus, depending on the needs of the university and the exigencies of the service; and
- 3.1.3. The composition of the Faculty Recruitment and Selection committee is as follows:

#### **College Level**

The College Dean (the Dean of the program in one campus)  
The Department Chair

The Two Faculty Members with the Highest Academic Rank in the College, in the discipline where two or more faculty members hold the highest academic rank in the college, the faculty member senior in appointment shall sit.

### **Campus Level**

Campus Executive Officer, chairperson  
Dean of the relevant college and, when necessary, all college deans in the campus  
Department Chair or Program Chairs concerned, member  
Faculty Member of the Department with the highest rank in the discipline, member  
Campus Faculty Association President, member

### **University Level**

Vice President for Academic Affairs, chairperson  
Vice President for Administration and Finance, member  
Vice President for Research, Extension and Development  
Vice President for Linkages and Resource Mobilization  
The Director of Instruction  
University Faculty Federation President, member  
Dean concerned  
Campus Executive Officer Concerned  
Secretary: The University Human Resource Officer

## **Section 4: Procedure**

- 4.1. Recruitment of applicants to faculty position is in accordance with the following procedure:
  - 4.1.1. The HRMO determines the vacant positions in the plantilla. HRMO submits the list of vacant plantilla faculty positions to the Vice-President for Administration and Finance who causes a publication of the list of vacant position in an appropriate manner. Campus Executive Officers are also supplied copies.
  - 4.1.2. The applicant formally applies in writing to the Campus Executive Officer who immediately screens out applicants who do not meet basic requirements under CSU, CHED and CSC rules after having conferred with the College Recruitment and Selection Committee. The College RSC also proactively invites prospective members of the Faculty who exhibit the desired qualities of a faculty member.
  - 4.1.3. The Campus Recruitment and Selection Committee initially evaluates the credentials of the applicants using the prevailing evaluation criteria taking into consideration those set forth in NBC 461 as well as SCS Memorandum Circulars. It interviews the candidate and shall require them class demonstration for Instructor I level entry.

- 4.1.4. The Campus Recruitment and Selection Committee ranks the candidates in the orders of preference according to the criteria above and submits its ranking to the Vice President for Academic Affairs. The Campus and Recruitment Selection Committee may strike out candidates deemed unfit or undesirable, on grounds that may include moral fitness and personality traits, observing all existing laws on fair employment opportunity.
- 4.1.5. The Vice-President for Academic Affairs convenes the University Selection Committee that reviews the recommendation of the Campus Selection Committee.
- 4.1.6. The University Recruitment and Selection Committee may interview the candidates. The Committee then ranks the candidates.
- 4.1.7. The University appoints the faculty member, taking into consideration the ranking submitted by the URSC. The University President, however, may return the recommendations to the Committee and ask for a review.
- 4.1.8. The University President approves the appointment of qualified applicants for the positions of Instructor I to Assistant Professor IV while the Board of Regents confirms the appointment of Applicants for the positions of Associate Professor I to University Professor.
- 4.1.9. The HRMO submits the appointments of the faculty to the Civil Service Commission for attestation.
- 4.1.10. The HRMO submits the list of the faculty members hired to the University President.

## **Section 5: Appointment of Regular Faculty Members**

The rank of a faculty member to be given a permanent position shall be governed by the following qualification standards set by the University.

- 5.1. For all ranks and sub-ranks, where Commission on Higher Education or Legal Education Board policies and standards require Licensure or Bar eligibility, the same shall be deemed part of the requirements, UNLESS the same policies provide for exemptions.
- 5.2. In accordance with CSC Resolution No. 1600839 dated 25<sup>th</sup> July 2016, the specialization and expertise of the applicant shall be reckoned by reference to the master's and doctor's degree of the candidate, and not by the undergraduate degree.
- 5.3. In conformity with the Department of Budget and Management Manual on NBC 461, in the College of Medicine and Surgery, the MD degree

carried by its professors shall be considered a doctorate degree. For the College of Law, LEB Resolution No. 2014-12 on the percentage of LLM faculty members must be complied with such that by Academic Year 2020-2021, 80% of all who teach must possess the Master of Laws (LLM) degree.

- 5.4. For those admitted or promoted to the rank of Professor for the first time, the applicant must be accredited by a committee of experts constituted by PASUC and must receive a "PASS" mark from the accreditation process.
- 5.5. When the doctorate degree is not readily available or is not locally offered, the candidate for the rank of Professor I must hold a doctorate degree in an allied field.
- 5.6. Qualification Standards

5.6.1. For appointments to the rank of **Instructor I**

- Master's Degree in the area of Specialization
- RA 8981 for courses covered by bar/board laws
- Teaching or relevant experience not required
- NBC CCE points of 65 or less

5.6.2. For appointments to the rank of **Instructor II**

- Master's Degree in the area of specialization
- RA 8981 for courses covered by bar/board laws
- 2 years of teaching or relevant experience
- NBC CCE points of 66-76

5.6.3. For appointments to the rank of **Instructor III**

- Master's Degree in the area of specialization
- RA 8981 for courses covered by bar/board laws
- 3 years of teaching or relevant experience
- NBC CCE points of 77-87

5.6.4. For appointments to the rank of **Assistant Professor I**

- Doctorate or Master's Degree in the field of specialization
- RA 8981 for courses covered by bar/board laws
- 4 years of teaching or relevant experience
- NBC CCE points of 88-96

5.6.5. For appointments to the rank of **Assistant Professor II**

- Doctorate or Master's Degree in the field of specialization
- RA 8981 for courses covered by bar/board laws
- 5 years of teaching or relevant experience
- NBC CCE points of 97-105

5.6.6. For appointments to the rank of **Assistant Professor III**

- Doctorate or Master's Degree in the field of specialization
- RA 8981 for courses covered by bar/board laws
- 6 years of teaching or relevant experience
- NBC CCE points of 106-144

5.6.7. For appointments to the rank of **Assistant Professor IV**

- Doctorate or Master's Degree in the field of specialization
- RA 8981 for courses covered by bar/board laws
- 7 years of teaching or relevant experience
- NBC CCE points of 115-123

5.6.8. For appointments to the rank of **Associate Professor I**

- Doctorate or Master's Degree in the field of specialization
- RA 8981 for courses covered by bar/board laws
- 8 years of teaching or relevant experience
- NBC CCE points of 124-130

5.6.9. For appointments to the rank of **Associate Professor II**

- Doctorate or Master's Degree in the field of specialization
- RA 8981 for courses covered by bar/board laws
- 9 years of teaching or relevant experience
- NBC CCE points of 131-137

5.6.10. For appointments to the rank of **Associate Professor III**

- Doctorate or Master's Degree in the field of specialization
- RA 8981 for courses covered by bar/board laws
- 10 years of teaching or relevant experience
- NBC CCE points of 138-144

5.6.11. For appointments to the rank of **Associate Professor IV**

- Doctorate or Master's Degree in the field of specialization
- RA 8981 for courses covered by bar/board laws
- 11 years of teaching or relevant experience
- NBC CCE points of 145-151

5.6.12. For appointments to the rank of **Associate Professor V**

- Doctorate or Master's Degree in the field of specialization
- RA 8981 for courses covered by bar/board laws
- 12 years of teaching or relevant experience
- NBC CCE points of 152-158

5.6.13. For appointments to the rank of **Professor I**

- Doctorate degree in the field of specialization
- RA 8981 for courses covered by bar/board laws
- 13 years of teaching or relevant experience
- Research published in a referred journal or authorship of books adopted by the university or other institutions of awards of distinction given by legitimate professional organizations or association
- NBC CCE points 159-164

5.6.14. For appointments to the rank of **Professor II**

- Doctorate degree in the field of specialization
- RA 8981 for courses covered by bar/board laws
- 14 years of teaching or relevant experience
- Research published in a refereed journal or authorship of books adopted by the university or other institutions or awards of distinction given by legitimate professional organizations or associations
- NBC CCE points of 165- 170

5.6.15. For appointments to the rank of **Professor III**

- Doctorate degree in the field of specialization
- RA 8981 for courses covered by bar/board laws
- 15 years of teaching or relevant experience
- Research published in a refereed journal or authorship of books adopted by the university or other institutions or awards of distinction given by legitimate professional organizations or associations
- NBC CCE points of 171 – 176

5.6.16. For appointments to the rank of **Professor IV**

- Doctorate degree in the field of specialization
- RA 8981 for courses covered by bar/board laws
- 16 years of teaching or relevant experience
- Research published in a refereed journal or authorship of books adopted by the university or other institutions or awards of distinction given by legitimate professional organizations or associations
- NBC CCE points of 177 – 182

5.6.17. For appointments to the Rank of **Professor V**

- Doctorate degree in the field of specialization
- RA 8981 for courses covered by bar/board laws
- 17 years of teaching or relevant experience
- Research published in a refereed journal or authorship of books adopted by the university or other institutions or awards of distinction given by legitimate professional organizations or associations
- NBC CCE points of 183 – 188

5.6.18. For appointments to the Rank of **Professor VI**

- Doctorate degree in the field of specialization
- RA 8981 for courses covered by bar/board laws
- 18 years of teaching or relevant experience
- Research published in a refereed journal or authorship of books adopted by the university or other institutions or awards of distinction given by legitimate professional organizations or associations
- NBC CCE points of 189 – 194

5.6.19. For appointments to the Rank of **College/University Professor**

- Doctorate degree in the field of specialization
- RA 8981 for courses covered by bar/board laws
- 15 years of teaching or relevant experience
- Research published in a refereed journal or authorship of books adopted by the university or other institutions or awards of distinction given by legitimate professional organizations or associations
- NBC CCE points of 195 – 200

There shall be no reclassification, unless allowed by rules or approved university policy.

## **Section 6: Appointment of Part-time Faculty Members**

- 6.1. Part time faculty members must be Master's degree holders, subject to such exceptions as the relevant rules may provide. They are obliged to submit a permission to teach from their mother agency or school. Lawyers and licensed physicians shall be considered as holders of Master's degree for the purpose of teaching in undergraduate programs unless derogations from this requirement are allowed by academic standards.
- 6.2. A contract of service is issued to a part-time faculty member. Engagement under a contract of service does not entitle a part-time faculty member to any of the benefits or permanent employment. Neither does it guarantee the contracted faculty member an appointment or permanence or tenure.



- 6.3. Contract or part-time faculty members expire at the end of the semester or summer. The Dean or Department Head shall recommend renewal after consultations with the department faculty and the part-time faculty member has passed all the criteria set for evaluating faculty performances but only after the submission of the necessary clearance and the grades of students.
- 6.4. Part-time faculty members with no other employment may be assigned a teaching load of twenty-one (21) units; when a part-time faculty member is employed elsewhere, the load shall not exceed six (6) units inclusive of Graduate School subjects.
- 6.5. Part-time faculty members are expected to serve the entire term of their employment. Any violations of the contract will be met with non-renewal of contract, without prejudice to recourse to remedies provided by law. They are paid monthly. Compensation is computed by multiplying the total number of equivalent lecture hours a month by their corresponding hourly rate. In case a part-time faculty member breaches the contract and pre-terminates it without the university's consent, such a faculty member shall be liable to the university in liquidated damages of Two Hundred Thousand Pesos (200,000.00).
- 6.6. A permanent appointment shall be given to an individual who is a holder of an appropriate master's degree, an academic or relevant experience, and a professional license.
- 6.7. The service of a permanent faculty member may be terminated only for serious cause and after due process, or as a result or authorized re-organization.

## **Section 7: Classification of Faculty Members**

### **7.1. Regular Faculty Members**

- 7.1.1. These are faculty members occupying itemized faculty positions who teach on a full-time basis and whose main functions include instructions, research, extension services and production in pursuance of the vision, mission of the university.
- 7.1.2. A full-time faculty member may also solely engage in research, but in all cases, the faculty member shall be assigned a teaching load of at least six (6) units.

### **7.2. Part-time Faculty**

These are faculty members employed to teach on a term basis (semester or summer). They receive remuneration on an hourly rate. In no case shall a part-time member carry a teaching load beyond twenty-one (21) units, inclusive of Graduate School subjects.

### 7.3. Visiting Professor

Visiting professors are those invited by the university from other institution to render services in form of instruction, research, extension service, and the like for the duration of a program. Foreign professors who are invited to speak in a forum, symposium, or a lecture series fall under this category. They are awarded honoraria and are not considered employees of the university.

### 7.4. Professor Emeritus

This refers to a retired faculty member or administrator who holds the rank of a least Full Professor at University upon his/her retirement and is given the title in recognition of exceptional competence in his or her field of specialization. He/she is invited to render instructional or research services, in which case, the professor emeritus is awarded an honorarium.

## **Section 8: Appointment of Faculty in Dearth Courses**

In consonance with 2017 CSC Omnibus Rules on Appointments and other Human Resource Actions, faculty positions/ranks in fields/courses when there is no Master's degree program in the discipline being offered in the Philippines can be issued provided that CHED issues a certification to that effect.

## **Section 9: Appointment of Temporary Faculty**

Temporary appointment to Instructor I position can be issued to faculty who does not meet the master's degree requirement but whose field of specialization is necessary provided that a certification is issued by the President vouching for the absence of an applicant who meets the minimum requirement of the position. The President shall submit appointment for BOR approval.

In view of Section 9, Rule IV of the Omnibus Rules on Appointments and other Human Resource Actions (ORAOHRA), temporary faculty members are required to finish their Master's Degree. The Appointment of Faculty members under temporary status is renewed yearly for a period not exceeding five (5) years.

## **Section 10: Promotion and Advancement**

For purposes of implementation of the Merit System, the following terms are herein defined:

- 10.1. Advancement refers to the upgrading, whether by the National Budget Circular tract or by Presidential Discretion (Institutional Promotion) of the academic rank or a faculty from one sub-rank to a higher sub-rank within rank and accompanied by an increase in salary in accordance with the provisions of the Salary Standardization Act. An advancement is approved by the Board of Regents and a Notice of Salary Adjustment is subsequently issued to the faculty.
- 10.2. Promotion refers to the upgrading of the academic rank or a faculty from a lower rank to a higher rank, for example, from Instructor to Assistant

Professor, Associate Professor to Professor and accompanied by an increase in salary in accordance with the provisions of the Salary Standardization Act. A promotion is approved by the Board of Regents and the Commission on Civil Service and an Appointment and Notice of Salary Adjustment is subsequently issued to the faculty member.

- 10.3. Rank refers to academic positions of faculty, namely Instructor, Assistant Professor, Associate Professor, Professor, College Professor, and University Professor.
- 10.4. Sub-rank refers to the academic positions within rank. The sub-ranks for the Instructor rank are Instructor I, II and III; for the Assistant Professor rank - Assistant Professor I, II, III, IV; for the Associate Professor rank-Associate, Professor I, II, III, IV, and V; for the Professor rank-Professor I, II, III, IV, V, VI, College Professor; and University Professor.

## **Section 11: Schemes of Faculty Promotion**

### **11.1. Promotion Track 1: Promotion under NBC 461 Policies**

- 11.1.1. There shall be a Performance Evaluation System which shall be used to assess the teaching effectiveness or instructional competencies of every faculty. Performance appraisal shall be conducted at the end of each semester.
- 11.1.1. There shall be an evaluation of the educational qualifications, experience and length of service, and the professional development, achievement, and honors of every faculty. The Common Criteria for Evaluation (CCE) shall be the primary basis for classification and promotion. The CCE shall be determined by the following:
  - Educational Qualifications 85 points
  - Experience and Professional Services 25 points
  - Professional Development, Achievement, Honors 90 points
- 11.1.2. Qualitative Contributions (QCE) awards points for continuous improvement of the faculty member towards excellence in all four functional areas: instruction, research, extension and production.
- 11.1.3. Provided that: in the absence of QCE points, the CCE points will be determined of the rank and classification of the instructor or the professor.
- 11.1.4. Promotion/advancement in accordance with NBC 461 shall be done every two years. In no instance, however, should a faculty be promoted/advanced within a period of two terms after the latest promotion.

- 11.1.5. In addition to the CCE and QCE, all candidates for the rank of Professor shall undergo screening by an Accreditation Committee which shall prescribe its own guidelines for evaluation.

## **11.2. Procedure for Promotion under NBC 461**

- 11.2.1. The NBC Coordinator / Office of Director of Instruction shall advise all persons concerned to update their records or NBC documents in the Human Resource Management Office at the start of the calendar year.
- 11.2.2. The rules and procedures in the Common Criteria for evaluation under NBC 461 pertaining to position or rank upgrading/reclassification shall be considered.
- 11.2.3. A University NBC 461 Review Committee shall be created that shall evaluate En Banc the documents and credentials of the faculty members. Prior to the University Review, an initial evaluation shall be conducted at the College and Campus levels of which the latter will then officially transmit the evaluated documents to the University NBC 461 Review Committee.
- 11.2.4. The College NBC Evaluation Committee shall certify the authenticity of the documents submitted by concerned faculty.
- 11.2.5. The Campus NBC Evaluation Committee shall evaluate and assign corresponding points on the documents submitted by concerned faculty.
- 11.2.6. The University NBC Review Committee shall review the results of the campus evaluation and shall determine the final NBC points of each faculty.
- 11.2.7. The Office of the President through the Office of the Vice President of Academic Affairs shall submit the documents at the Regional NBC 461 Zonal Center.
- 11.2.8. The composition of the NBC 461 Evaluation and Review Committees shall consist of the following:

### **College NBC Evaluation Committee**

Chair:	College Dean
Co-Chair:	Department Chair concerned (if any)
Members:	College Research Coordinator
	College Extension Coordinator
	Senior Faculty

Campus NBC Evaluation Committee:

Chair: Campus Executive Officer  
Co-Chair: Campus NBC Coordinator  
Members: College Dean concerned  
Campus Faculty Association President  
Senior Faculty concerned

University NBC Review Committee

Chair: Vice-President for Academic Affairs  
Co-Chair: Director of Instruction/  
University NBC Focal Person  
Members: University NBC Coordinators  
CSU Faculty Federation President

### **11.3. Promotion Track 2: Institutional Promotion**

- 11.3.1. Institutional Promotion consists in an exercise of the University President's discretion.
- 11.3.2. Institutional promotion or promotion through filling up of natural vacancies occurs yearly. It is in accordance with Chapter 7.6 of the DBM Guidelines on NBC 461 and constitutes an exercise of the University President's discretion.
- 11.3.3. Faculty members are evaluated to determine their CCE points regardless of the ranks or positions they currently occupy, provided that the criteria as hereafter indicated, applied in case of designated officials. The President exercises her discretion by promoting the candidate in accordance with the DBM and CSC rules.
- 11.3.4. Faculty members are recommended for Institutional Promotion by their respective deans, endorsed by their respective Campus Executive Officers, and reviewed as to their fitness by the Vice Presidents who submit their own comments to the University President.
- 11.3.5. Candidates for Institutional Promotions are recommended by their College Deans, the Campus Executive Officer and the Vice-President for Academic Affairs.
- 11.3.6. Candidates shall be considered for promotion on the basis of their performance evaluation which should not be lower than "Very Satisfactory".

### **11.4. Procedure for Promotion under Institutional Promotion**

- 11.4.1. The University Human Resource Management Officer submits to the University President the list of occurring vacancies that may be filled by Institutional Promotion.
- 11.4.2. The University President provides all College Deans and Campus Executive Officers with the list of vacant positions. This list is disseminated to all.
- 11.4.3. The faculty member-whether recommended or whether applying-submit documents to the College or Campus Evaluation Committee that initially evaluates the documents.
- 11.4.4. The Campus Evaluation Committee submits recommendation for faculty promotion, the summary of the evaluation by faculty rank and the documents evaluated to the University Review Committee. The Campus Executive Officer endorses the nominees to the University Evaluation Committee.

- 11.4.5. The University Review Committee reviews the evaluation of documents. It consolidates the final evaluation results by faculty rank, university-wide. The University Review Committee submits the final evaluation results to the University President.
- 11.4.6. The University President, considering the nominees of the Campus Executive Officers, and conferring with the Vice-Presidents, appoints the faculty members to the vacant positions.
- 11.4.7. For the holders of professorial ranks with designations, the following criteria shall be relevant:
1. **Management Skills.** The following shall be the indicators of management skills:
    - Office Performance Commitment Review (OPCR)
    - Evaluation by Supervisors and Subordinates
  2. **Leadership Competence.** The following shall be the indicators of leadership competence:
    - Performance of the Campus and its programs in licensure examinations
    - Performance of the Campus and its programs in quality assurance measures.
    - Performance of the Campus in sound fiscal management
  3. **Innovative Procedures and Mechanism Introduced**
    - Applications for patent, utility models, industrial designs and registered copyrights.
    - Innovative systems and management procedures instituted in the campus or in the college.
    - Productivity and output
      - Contribution to the Internally Generated Income of the university
      - Sustainable programs of production
      - Acknowledgement and accreditation by external agencies.

## Chapter IV

### ACADEMIC POLICIES AND GUIDELINES

#### Section 1: Academic Load

##### 1.1. Faculty Workload

- 1.1.1. A full-time faculty member has a regular load of 18 hours per week for lecture, or lecture with laboratory subjects, with loads in research and extension, and 21 for shop-work subjects. The number of preparations shall be considered in the distribution of subject loads.
- 1.1.2. Every hour of laboratory in the College of Medicine, Veterinary Medicine, Engineering, Natural Sciences and Allied Health Sciences, major computer subjects and major laboratory subjects in Industrial Technology is equivalent to one (1) hour; while one (1) hour of laboratory in Fisheries, Agriculture, Education, Hospitality Management, Criminology, basic computer subjects and shop work in Industrial Technology is equivalent to .75 hour.
- 1.1.3. Credit units for major courses in Industrial Technology shall be 5 units (3 units for lecture and 2 units for laboratory).
- 1.1.4. The graduate school subject-load, is two subjects (or six units) at most. Should a faculty be underloaded in the undergraduate level the number of units he/she lacks to carry a full load may be offset by a teaching assignment in the Graduate School, provided that the faculty member concerned is qualified to teach in the Graduate School. As a general rule, only doctorate degree holders are qualified to teach in the Graduate School.
- 1.1.5. All individual faculty workloads shall be reviewed by the Director of Instruction and approved by the Vice President for Academic Affairs.

##### 1.2. Distribution of Faculty Workload

- 1.2.1. The regular faculty workload per week shall be based on the following:

Number of Preparations	Hours/week
1 - 3	18
4 - 5	16.5

- 1.2.2. The subject load shall be along the area of specialization of faculty.
- 1.2.3. Extra subjects shall be fairly distributed to regular faculty as overload.
- 1.2.4. Unless the part-timers possess the sole competence to teach the subjects, in no way shall they hold subject loads greater than those of the regular faculty.



- 1.2.5. Subject with lecture and laboratory shall be treated as one preparation.
- 1.2.6. Four (4) or more consecutive hours of lecture shall not be allowed to ensure efficiency.
- 1.2.7. All regular faculty shall be given regular load every semester to avoid hiring too many part-time faculty during the semester.
- 1.2.8. Submission of faculty workload is two weeks after the first day of classes.
- 1.2.9. Petitioned subjects shall be part of the regular load of the assigned faculty.
- 1.2.10. All designated officials occupying faculty positions shall have subject-loads, in accordance with their Equivalent Teaching Load privileges. To be credited as overload, teaching must be done outside office hours, otherwise the teaching hours shall be covered by the regular compensation given such designated officials.

### **1.3. Equivalent Teaching Load (ETL) of Designated Officials**

All designated officials occupying faculty positions shall have subject-loads in accordance with their Equivalent Teaching Load privileges as approved by the University President:

#### **1.3.1. University Designations**

<b>University Designation</b>
Vice-President for Academic Affairs
Vice-President for Administration and Finance
Vice-President for Research, Development and Extension
Vice-President for Partnership and Resource Mobilization
Executive Assistant to the President
Director for Research
Director for Extension and Community Services
Director of Instruction
University Director for Quality Assurance
Director of Admission Services
Director of Student Development and Welfare
Director of Guidance and Counselling
Director of Socio-Cultural Affairs
Director of Sports
University Focal Person for Gender and Development
Director of Planning and Development
Director of Alumni and Placement Services
Director of Management Information System Manager
Director for Infrastructure
Director of Domestic and International Partnership
Director of Knowledge and Technology Management

Director of Business Affairs
Director of Auxiliary Services
University Information Officer
University Risk Management Officer
University Intellectual Property Rights Management Officer
University Focal Person for LUDIP
University Focal Person for Climate Change
Dean, Graduate School
Dean, College of Medicine
Dean, College of Law
Hotel Administrator (Andrews campus)
Faculty Regent

### 1.3.2. Campus Designations

<b>Campus Designation</b>
Campus Executive Officer
Campus Coordinator for Academic Affairs
Campus Coordinator for Research, Development and Extension
Campus Quality Assurance Coordinator
College Deans
Campus Registrar (as needed)
Campus Admission Coordinator
Campus Student Development and Welfare Coordinator
Campus Guidance Coordinator (only for campuses with no plantilla holder)
Campus GAD Focal Person
Campus Sports Coordinator
Campus Socio-Cultural Coordinator
Campus Planning Coordinator
Campus Information Officer
Campus Publication Adviser
Campus Infrastructure Coordinator
Campus Management Information System Coordinator
Campus Business and Income Mobilization Coordinator
Campus Building and Ground (GSO) /Auxiliary Services Coordinator (as needed)
Campus Coordinator for Instruction and IMs Development
Campus TVET Coordinator (only for campuses with TVET Programs)
Campus ROTC Coordinator
Campus Foreign Students Coordinator (as needed)
Campus Alumni and Placement Relations Services
ISO Document Controller (as needed)

#### **1.4. Overload**

- 1.4.1. A maximum overload of nine (9) hours is allowed each faculty member, provided that the faculty has obtained a Supervisor's evaluation of Very Satisfactory in the preceding semester or with exemplary teaching performance. Any excess load on top of nine (9) units shall not be paid. Consultancy, mentoring and thesis advisorship shall not be considered overload.
- 1.4.2. Payment for extra teaching will be made only if the load is indicated in the faculty workload.
- 1.4.3. To be credited as overload for designated officials, teaching must be done outside office hours, otherwise it will not be paid.
- 1.4.4. Academic related functions given to underloaded faculty members shall not entitle them overload.
- 1.4.5. Classes, no matter their size, shall not be split without the approval of the Dean, who must comply with existing rules and policies on class size. No overload pay will be given for teaching resulting from unauthorized or irregular splitting of classes; neither shall any member of the faculty be compensated who changes her class hours or schedule.

#### **1.5. Substitute Load**

- 1.5.1. Substitute load is given to faculty members who take over for those on official business, on approved leaves, on scholarship, or who are terminated, separated or suspended from the service within the semester.
- 1.5.2. The Dean assigns a faculty member to substitute for another in a class. Priority must be given to a faculty who is competent to teach the course, who is yet to complete the maximum number of extra teaching load and whose schedule does not conflict with that of the substitute class.
- 1.5.3. Payment for the substitute faculty should be in accordance with his/her hourly rate. No substitute may be assigned who is not already a faculty member of the university, without prior clearance from the Vice-President for Academic Affairs who shall either endorse or deny endorsement to the President.
- 1.5.4. Substitution is allowed only if it is arranged and authorized by the Dean. Internal arrangements involving substitutions are not allowed among faculty members.

## **1.6. Teaching Outside the University**

- 1.6.1. Faculty members who wish to teach in other schools outside should consult and secure the permission of the President in writing with the class schedule signed by the Dean as attachment.
- 1.6.2. Teaching in other schools may be allowed to a faculty member provided the total number of load does not exceed nine (9) hours at any given week, inclusive of overload in the university. This does not cover invitations by government agencies or instrumentalities of government for lectures. However, acceptance of research grants is subject to these rules.
- 1.6.3. Teaching outside the university should not conflict with the faculty members' duties and responsibilities in the university. The external engagements of the faculty, even outside teaching hours in the university, shall not constitute a valid excuse for the non-involvement of the faculty member in the university activities.

## **1.7. Subject-load of Students**

The subject-load of students shall be determined by each College and set forth in the policies and rules of the college of which students must be notified. CHED standards and policies must be complied with, and in the case of the College of Law, policies and standards of the Legal Education Board.

## **1.8. Petitioned Subjects**

- 1.8.1. Only graduating, irregular or those students who belong to the old curricula shall be allowed to petition.
- 1.8.2. The minimum class size for a petitioned subject is 20 students for minor subjects and a minimum of 10 students for major subjects.
- 1.8.3. The students make a request to the Dean who will recommend to the Campus Executive Officer through the Campus Coordinator for Instruction and IMs Development for approval.
- 1.8.4. For petitioned subjects with students below the minimum number, the petitioning students shall pay the cost of the offering of such subject.
- 1.8.5. During regular semester, a distinct pay for faculty who teaches a petitioned subject shall be paid only if the subject is on top of the regular load of said faculty provided the prescribed minimum number of students per subject is met.

## **Section 2: Offering of Summer Classes**

### **2.1. Policies**

- 2.1.1. The university shall offer summer classes for students whose curriculum has prescribed subjects for summer.
- 2.1.2. Summer classes for irregular students are offered upon petition, provided they are graduating or such petitioned subject will make them regular students in the succeeding semester.
- 2.1.3. The summer load must not exceed nine (9) units of pure lecture.
- 2.1.4. Regular faculty members shall be prioritized for summer teaching.
- 2.1.5. Faculty members who are on teachers' leave basis and who teach during summer shall be given honorarium or the equivalent service credit.
- 2.1.6. The subject-load of students shall be determined by each College and set forth in the policies and rules of the college of which students must be apprised. CHED standards and policies must be complied with, and in the case of the College of Law, policies and standards of the Legal Education Board.

## **Section 3: Classroom Regulations and Management**

### **3.1. First Day of Classes**

- 3.1.1. The Office of the Registrar provides the class list of enrolled students to faculty members.
- 3.1.2. The instructor or professor checks the correspondence between the students in the classroom and those in the checklist.
- 3.1.3. The class list contains the names of students officially enrolled in the class. The class list shall be updated by the faculty by including the names of students not contained in the list after verifying their enrollment in the subject.
- 3.1.4. A student is considered officially enrolled when the university cashier has stamped on the registration form an acknowledgment to show payment of fees.
- 3.1.5. The Dean shall submit the updated class list to the Office of the Registrar.
- 3.1.6. Faculty members should give the course outline, orient the students about the objectives, contents and requirements of the course, and explain the bases in evaluating students' performance.

### **3.2. Medium of Communication**

The medium of instruction shall be English, except in those subjects where present CHED policies and standards mandate the use of the national language. Whatever subject a teacher may teach, however, he is always expected to develop facility and efficiency in the use of English, both in written and in spoken communication.

### **3.3. Class Meetings/Dismissal of Classes**

- 3.3.1. Classes must start on time and must be dismissed at least five (5) minutes before the end of each period to allow students to move and attend their next class.
- 3.3.2. In case the instructor or professor does not appear within fifteen (15) minutes of the commencement of the class period, the class representative takes the initiative to dismiss the class after taking attendance of the students.

### **3.4. Make-up Classes**

- 3.4.1. Faculty members who miss their classes due to official functions should conduct make-up classes for the lost lessons. The request forms for make-up classes shall be provided by the college.
- 3.4.2. These classes should be scheduled according to the convenience of the students, and should never be set at a time that results in a conflict between the make-up class and other classes even only some students.

### **3.5. Classroom Discipline**

- 3.5.1. Discipline includes the manner students conduct themselves and the way they deal with other students, members of the faculty and of the administration as well as their care of school property.
- 3.5.2. Classroom discipline is the concern of the faculty member. At no times should there be tolerance for disorderly classrooms and disrespectful conduct. Destructive conduct and vandalism shall be dealt with.
- 3.5.3. University property used by students and faculty members shall be their collective responsibility. Any damage thereto shall be borne jointly by them.
- 3.5.4. Faculty members shall, at all times, see to the discipline, proper deportment, courtesy and decency of students. The professor or instructor may impose sanctions for infractions of disciplinary rules, but at no time shall corporal punishment be countenanced. In respect to students below 18 years old, the provisions of Republic

Act No. 7610 that penalizes different forms of child-abuse (including verbal abuse) shall be observed.

### **3.6. Class Participation**

The delivery of instruction must be outcomes-based, skills-based, participative, research-intensive and interactive. The particular strategy or method used by the teacher should implement this policy. Students should therefore be evaluated for their class participation. This can be done by rubric rating or some other suitable system that the college may devise. Class participation constitutes an integral part of the grade given each student.

### **3.7. Evaluation of Student Performance**

- 3.7.1. Faculty members should assess student performance objectively by constructing valid and reliable achievement tests. Test questions shall be approved by the Dean.
- 3.7.2. All quizzes and tests should be properly corrected and returned promptly to the students for immediate feedback.
- 3.7.3. A new set of questions must be prepared for special examinations. There shall be no exemptions from final examinations.
- 3.7.4. Co-curricular activities one week before an examination are never to be scheduled to enable the students' sufficient opportunity to prepare.

### **3.8. Dropping of Students from a Course**

Students shall be dropped if they have an accumulated absence of at least twenty percent (20%) of the total number of class hours in a semester. Students may be allowed to drop only before the conduct of the mid-term examination, except in cases found meritorious.

## **Section 4: Suspension of Classes**

Classes are suspended only as a result of a proclamation of the President of the Republic of the Philippines, or an order of suspension issued by the University President or, in his absence, when emergency circumstances so warrant, the Vice-President for Academic Affairs. In the different campuses, in emergency cases, the Campus Executive Officer may suspend classes, after having sought the clearance of the University President or the Vice-President for Academic Affairs when the University President is absent. When classes are suspended, no student shall be allowed to remain within campus nor to loiter within its premises.

## **Section 5: Educational Tours**

Educational tours and visits that are required by the curriculum or that are clearly relevant to a major subject are allowed provided that these conform with

the Policies and Guidelines governing Educational Tours issued by government regulating agencies (i.e. CMO 17 s.2012, etc.)

## **Section 6: Schedule of Classes**

### **6.1. Class Scheduling**

- 6.1.1. Class schedules are prepared by the Dean with the assistance of the Department Chair/Program Coordinator in coordination with the Registrar two (2) months before the start of the semester. The assignment of subject loads and preparation of class schedules should be based on the existing policies.
- 6.1.2. All Deans meet with the Campus Coordinator for Instruction and IMs Development for the synchronization of workload (or course assignments) especially in respect of teachers common to different colleges, including the graduate school.

### **6.2. Change of Class Schedule**

- 6.2.1. The regular schedule of classes should be observed strictly.
- 6.2.2. Faculty members should conduct their classes or consultation services on the scheduled time and venue.
- 6.2.3. Changing of class schedule and room assignment without the Dean's approval is strictly prohibited.
- 6.2.4. Internal arrangements between faculty members and students are not allowed. An instructor or professor who meets his or her class at a time, day or in a place other than that indicated in the teaching load assignment shall be deemed absent, unless the Dean's approval is first obtained. The Dean shall in turn cause the proper revisions of the copies of the teaching load assignment (or workload) and furnish the Director of Instruction and the Vice-President for Academic Affairs.

### **6.3. Class Size**

- 6.3.1. In the undergraduate level the normal class size for lecture is 45. However, during pandemic, class size may be up to 60. Shop and laboratory classes shall have a class size of 25. Small classes shall not be split to make the faculty meet the regular load.
- 6.3.2. In the Graduate School, basic subjects shall have a minimum class size of twenty (20) for minor subjects and not less than ten (10) for major subjects during the regular semester and summer. Should the class size fall below the minimum number, the Registrar should inform the Dean who will decide whether to dissolve the class or conduct a special class to be treated as a petitioned subject.



## **Section 7: Examinations**

### **7.1. Schedule of Examination**

- 7.1.1. The schedule of major examination is incorporated in the university academic calendar for the current academic year.
- 7.1.2. Faculty members must administer their examinations by adhering to this schedule.

### **7.2. Types of Examinations**

- 7.2.1. Faculty members enjoy the full academic freedom of deciding the type of examination to give to their students. It is however suggested that multiple-choice type of tests be used especially those that are able to assess higher order thinking skills and for board courses.
- 7.2.2. Some departments may also give departmental examinations in particular subjects.

### **7.3. Examination Proctors and Correctors**

Faculty members should act as proctors and correctors of the examinations given to their respective classes. In case of departmental examinations, the department chair may assign a committee to appoint proctors but the corrector should be the faculty member handling the class. Staff and students are not allowed as proctors.

## **Section 8: Grades**

### **8.1. Grading System**

At the beginning of the semester, faculty members should inform their students of the criteria for grading. The university shall express grades in percentages.

#### **8.1.1. Undergraduate Level**

There are two grading periods which are the midterm and final. The final grade of the students shall be computed using the averaging method.

A student who drops a subject without the approval of the Registrar obtains a grade of 70.

#### **8.1.2. Graduate Level**

The passing grade in the graduate level is 85 or higher. A grade below 85 is considered a failure.

## **8.2. Submission of Grades and Class Records**

- 8.2.1. Grading sheets shall be submitted to the Registrar seven (7) days after the last day of the final examinations.
- 8.2.2. The grading sheets shall be accomplished in triplicate. The duplicate shall be used by the college in updating the Cumulative Academic Records of students every semester and summer. The instructions at the back of the grading sheets must be followed.
- 8.2.3. A clear copy of the class records shall also be submitted and kept at the college to immediately settle inquiries regarding computations and incomplete grades.
- 8.2.4. Entries in grading sheets and class records must be consistent. In case discrepancies occur, the entries in the class record shall prevail.

## **8.3. Rectification of Grades**

- 8.3.1. A rectification of grade is valid only if the faculty has erroneously entered a grade on the grading sheet or made an error in the computation.
- 8.3.2. The concerned faculty member shall make a written request to the Dean to rectify a grade.
- 8.3.3. The Dean requires the faculty to submit evidences as basis for grade rectification.
- 8.3.4. The faculty member must make the correction in the grading sheet clearly and legibly, with the correction duly initialed.
- 8.3.5. The Dean provides the registrar with a copy of the rectified grading sheet.
- 8.3.6. Rectification of an erroneous grade should be done within one year following the semester the student has taken the subject.

## **8.4. Penalties for Late Submission of Grades**

In case a faculty member fails to submit the grading sheets on time, the salary shall be withheld until a clearance from the Office of the Registrar is secured.

## **8.5. Completion of Incomplete Grades.**

- 8.5.1. An incomplete grade shall be completed within a period of one (1) year, immediately following the semester the incomplete grade is obtained.

- 8.5.2. The Registrar shall upon receipt of the report of grades, submit to the College Dean a summary list of students with incomplete grades for posting to serve as constant reminder.
- 8.5.3. Requirements for completion of incomplete grades shall be based on the deficiencies or cause of the incomplete grade. The subject professor shall not impose requirements unrelated to the subject.
- 8.5.4. If however, the cause of failure to complete within the prescribed period is due to the death or absence of the subject Professor, remedial measures shall be undertaken to help the student complete his grade.
- 8.5.5. In meritorious cases that may be determined by the Dean and his or her council, a student who has received a grade of “74” – which shall be reckoned as a failing grade – may be allowed a removal examination, provided that: all students in the same class who obtain a similar grade are accorded the same opportunity.

## **8.6. Unsubmitted Grades**

It is not fair to make the student suffer for the indifference of his instructor or professor. Instructors or professors are given one (1) academic semester within which to grade their students should any student be left out of grading. The instructor or professor may be subject to administrative censure. When at least one academic year has passed, and a student has not received a grade in a subject, and the professor or instructor concerned can no longer be located or contacted, the Dean shall require the student to fulfill a “completion requirement” that may take the form of a comprehensive examination in the subject, a research paper, but never a contribution whether in cash or in kind. Thereafter, the Dean may give the student a grade on the basis of the completion requirement.

## **Section 9: Academic Honors**

### **9.1. Honors and Awards of Students**

Students with excellent academic performance graduate with honors. Below is a list of the academic honors, together with the required grade point average (GPA).

#### **9.1.2. Graduate School**

<b>Academic Honor</b>	<b>Weighted Average</b>	
President's List	97-100	With no grade lower than 91
Dean's List	94-96	

### 9.1.3. Undergraduate

Latin Honors	Weighted Average	
Summa Cum Laude	98-100	With no grade lower than 85
Magna Cum Laude	94-97	
Cum Laude	90-93	

Special Awards	Weighted Average	
Academic Distinction	90-93	With no grade lower than 83
With Merit	89 or higher	With no grade lower than 82

Aside from the academic honors listed above, other colleges or departments grant outstanding students additional awards such as club and department awards. The university also awards Certificate of Recognition to students who qualify for the Dean's List every semester.

### 9.2. Guidelines for the Selection of Honor Students

- 9.2.1. The candidate must have completed not lower than 75 percent of the total academic units at the Cagayan State University.
- 9.2.2. He must not have dropped or incurred incomplete grades.
- 9.2.3. He must satisfy the GPA for the academic honors.
- 9.2.4. The bachelor's degree should have been completed within the prescribed period, the master's degree for 2 years and the doctorate degree for 3 years.
- 9.2.5. P.E. shall be included in the computation of grades.
- 9.2.6. The National Service Training Program (NSTP) shall not be included in the computation of grades although the candidate must not obtain a failing mark in this subject.
- 9.2.7. He should have shown exemplary behavior and character as attested to by the concerned College Dean. The candidate must not have been convicted of any administrative or criminal case.

## Section 10: Advising

### 10.1. Academic Advising

Faculty members render 6 hours of academic advising or consultation services weekly. They are expected to identify students with academic difficulties (such as those failing in examinations, those who have incurred that cause them to lag behind their classmates, or those who fail to submit required paper and other requirement) and inform them of their class standing. The faculty member will endeavor to identify the causative factors behind these

difficulties and will plan together with the student, or by proper referral to the guidance office, intervention measures.

## **10.2. Thesis or Dissertation Advising**

Thesis and dissertation advisers are officially assigned by the Dean. They receive a corresponding honorarium as adviser. Advising is limited to five (5) studies at a time.

## **Section 11: Student Services**

### **11.1. Guidance and Counseling**

Guidance and counselling services are available for all students at the Office of the Guidance Counselor. Faculty members are encouraged to refer students who have emotional and psychological problems for professional help.

### **11.2. Advising Student Organizations**

11.2.1 For campus organizations, student leaders recommend regular faculty members as advisers, to be endorsed by the Campus Student Development and Welfare Coordinator for the approval of the Campus Executive Officer.

11.2.2. For college student council and specialized organizations, regular faculty members shall be recommended as advisers by the student organization. Student leaders recommend faculty advisers, noted by the College Dean, to be endorsed by the Campus Student Development and Welfare Coordinator for the approval of the Campus Executive Officer.

#### **11.2.3. Duties and Responsibilities of an Organizational Adviser**

1. Be available for consultation with club officers and members.
2. Attend general meetings of the organization and if unable to attend he/she should be informed about the minutes of the meeting.
3. Familiarize herself/himself with the constitution and by-laws of the organization and ascertain that in the pursuit of the organization's goals, mission and objectives, conformity with the university's rules, its mission, its vision, and its philosophy, as well as conformity with all rules and regulations is safeguarded.
4. Serve as consultant and assist in the planning of activities, ensuring that they attain the organization's objectives.

5. Be present or be with the students if the organization's activity is held off-campus, or when the organization is representing the University.
  6. Require the parent's permission for students who join off-campus activities.
  7. Check and approve the posters/notices/announcements of the organization before posting.
  8. Evaluate the performance of the organization and submit a report to the OSS and College concerned which will be used as one of the bases for re-accreditation and for determining awards.
  9. Act as a liaison between the organization and the University administration; the adviser hence, should endorse the organization's communications and request addressed to the university administration.
- 11.2.4. Activities of student organizations must be conducted only after the prior approval of the Dean. To avoid delay, the adviser should secure a schedule of activities of the organization at the beginning of the school year and help the students prepare the permits and necessary documents in pushing through the activities.
- 11.2.5. The adviser of a student organization may, upon accomplishing the permit to hold an activity, request the use of university facilities needed for a specific event or activity sponsored by the organization. The adviser is held responsible for any untoward incident that may occur during the conduct of said activity.
- 11.2.6. At least three weeks before the end of the second semester, the faculty adviser should require and secure copy of the financial report of the organization. This report includes the membership fees collected, if any, the expenses incurred during all activities, the receipt and disbursement of funds, and all the funds obtained by solicitation and/or donation. The financial report should be submitted to the Dean at least a week before the semester ends. Financial statements are to be submitted to the Dean and should be duly signed by the president and auditor of the organization with the note of the adviser.

### **11.3. Publication Adviser**

The publication staff members shall recommend three faculty advisers from whom the administration shall choose from.

## **Section 12: Admission**

### **12.1. Admission Policies**

Students shall not be denied admission to the University by reason of race, age, sex, socio-economic status, religion, political affiliation or ideological conviction provided he is physically and mentally fit to the program he is applying for.

### **12.2. Admission Requirements**

#### **12.2.1. Graduate Level Requirements**

Undergraduate Transcript of Records  
Prescribed weighted average by the college  
Graduate school admission test result  
Copy of scholarship contract of scholars  
For scholars, two (2) recommendation letters from previous/  
immediate supervisor.

#### **12.2.2. Undergraduate Level Requirements**

University Admission Test Result  
Form 138  
Certificate of good moral character from head of school or  
guidance counselor  
Police Clearance and Barangay Clearance  
2 copies of I.D. picture  
Authenticated Birth Certificate from Philippine Statistics Authority  
For married students, Authenticated Marriage Certificate  
Certificate of Indigency/4P's, if applicable  
Certificate of Membership of Indigenous Community, if  
applicable

12.2.3. Entering freshmen desiring to enroll in any of the degree courses must qualify in the CSU Admission Test administered in all the campuses.

### **12.3. Transfer Students**

A transfer student shall take the College Admission Test if classified first year or second year. Otherwise, he shall take the college qualifying examination. He must satisfy the weighted average prescribed by the college. All comparable subjects shall be credited. He must finish 25% of the total units academic degree immediately preceding graduation. He must submit an honorable dismissal, police clearance, and certificate of good moral character

## **Section 13. Registration**

### **13.1. Registration Period**

Students shall register during such periods as may be allowed in the academic calendar.

### **13.2. Cross Registration**

13.2.1. Cross registration shall be defined as simultaneous registration within a semester or summer in more than one college within the university or another; provided that for courses offered and accredited in the academic program of the student offered by the different colleges of the university, the permission of the mother college to register shall be secured.

13.2.2. Cross registration in another college outside the University may be allowed provided that, the other college is accredited within the University and subject to the prior permission of the University through the Dean of the mother college and the Registrar.

13.2.3. Conditions for cross registration are conflict in schedule and non-offering of the subject.

13.2.4. Non-graduating students are allowed to cross register in colleges outside the university provided that cross registration is limited to basic subjects only with the exception of graduating students who may enroll major subjects in accredited schools.

### **13.3 Shifting**

Shiftees and transferees are least priority in the university under the Universal Access to Quality Tertiary Education Act.

## **Section 14: Enrolment Report**

The enrolment report shall be by campus, by college, by program, by year level, and by sex. The campus enrolment report shall be submitted to the University Registrar a week after the last day of enrolment. The University Registrar shall make a summary of the university enrolment, copy furnished all colleges, campuses, Director of Instruction, Director of Planning and Development and University Finance and Management Officer.

## **Section 15: Certification of Grades, Transcript of Records, and Diplomas**

1. Only the University/Campus Registrar is authorized to issue certification of grades, transcript of records and diplomas. Requests for the credentials shall be acted on within five (5) days in the case of certification of grades, and 15 days for transcript of records from date of application.



2. Unclaimed diplomas shall be issued only to persons concerned or the authorized representative by a duly executed special power of attorney. The university shall issue only one diploma for each student. To secure a replacement for a lost diploma, the graduate must execute an affidavit of loss.

## **Section 16: Scholastic Standing**

### **16.1. Rules on Scholastic Delinquency**

16.1.1. The University Academic Council shall promulgate (delinquency) rules and guidelines governing scholastic delinquency, subject to the approval of the Board of Regents, and to the following minimum standards:

1. Warning – a student who, at the end of the semester fails twenty-five percent (25%) of the total academic units in which he registered shall be warned by the Dean and be placed on probation.
2. Termination – any student who fails in more than twenty-five percent (25%) of the total academic units in which he registered shall be dismissed from the college; provided, that an incomplete grade shall not be included in the computation of earned units; provided, further, that this shall not apply to students who receive final grades in only nine academic units.

16.1.2. The academic delinquency status of a student shall be entered in the student's permanent record.

### **16.2. Effect of Dropping Due to Scholastic Delinquency**

Any student dropped from one college or department because of scholastic delinquency shall not be admitted in another department or college in the University unless in the evaluation of the Dean or Department Chair concerned thereat, the student's aptitude and interests qualify him in another field of study, in which case he may be admitted on probation.

### **16.3. Permanent Disqualification**

Any student, who at the end of the semester or term, fails in more than fifty percent (50%) of the total academic units in which he is registered, shall be permanently disqualified from readmission in any college or department in the university. When a student under probation fails again so that it becomes necessary to drop him again shall likewise be permanently disqualified from readmission to any college or department in the University.

#### **16.4. Limitations of University Disqualification**

In cases where a faculty member certifies that a grade of “70” obtained by a student is due to unauthorized dropping of subject and not actual poor grade, permanent disqualification does not apply, provided a certification is presented.

#### **16.5. Record of Scholastic Delinquency**

All academic delinquency status of a student shall be entered in the student’s permanent record.

### **Section 17: Minimum Grade Requirements for Graduate students**

1. In graduate courses, the requirement for graduation shall be a general weighted average of “85” or better in all formal courses except thesis.
2. To be considered in good standing, a graduate student must maintain a grade of 85 in all subjects in the graduate level.

### **Section 18: Maximum Residence**

#### **18.1. Undergraduate Students**

An undergraduate student shall finish an academic degree within a period prescribed in the curriculum with a grace period of one year in consonance with RA 10931, Universal Access to Quality Tertiary Education.

#### **18.2. Graduate Students**

- 18.2.1. The maximum period within which to finish a master’s degree shall be three (3) years. However, a student is given a two-year grace period. But if he fails to enroll within the grace period, the credits earned become stale thus shall be repeated.
- 18.2.2. The maximum period within which to finish doctoral degree shall be four years. However, a student is given a two-year grace period. But if he fails to enroll within the grace period, the credits earned become stale; thus, shall be repeated.

### **Section 19: Curriculum and Instruction**

#### **19.1. Procedure in Offering New Programs/Major Fields of Specialization**

- 19.1.1. The College shall undertake a feasibility study to determine the viability to offer a new program or major.
- 19.1.2. The feasibility study shall include the following:
  1. The Proposed curriculum must be in accordance with the policies and standards of the Technical Panel of the program

and CHED Memo 20, s. 2013 (the New General Education Curriculum).

2. The assessment of community needs and viability of the proposed program/major in terms of:
    - Demand for the graduates; and
    - Prospective students.
  3. Faculty profile for the program/major applied for in terms of:
    - Educational qualifications; and
    - Employment status (regular full-time and part-time lecturers).
  4. List of library holdings considering the following standard:
    - At least 3,000 non-fiction accessioned titles; and
    - At least 300 professional titles for each proposed program/major
  5. Physical facilities and laboratory equipment needed
  6. Administrative and Support Staff
- 19.1.3. The College Academic Council shall propose the offering of the new program/ major.
- 19.1.4. The Vice President for Academic Affairs and his academic staff shall review the proposal and endorse to the University President.
- 19.1.5. The President shall recommend to the Board of Regents approval for the offering of the new program/major.

## **19.2. Policies on Curricular Review and Revision**

- 19.2.1. The review and revision of curricula shall be in accordance with the procedure set in the Office Manual of Procedures (ISO 9001:2015) of the Office of the Director of Instruction.
- 19.2.2. The curriculum shall be reviewed periodically by the College in coordination with the ODI to determine its relevance and responsiveness to the changing needs of the times.
- 19.2.3. The Review Committee shall be composed of the College Dean as chairperson and concerned Department Chair, Program Coordinator, concerned faculty, student representatives, alumni representatives, parent representatives, representatives from private and public institutions, and civil society as members.
- 19.2.4. The minimum requirements for the GEC (General Education Curriculum) shall be based on CHED Memo No. 20 s. 2013 or

on subsequent orders. However, should the program require more general education subjects, the minimum requirements may be exceeded.

- 19.2.5. The total units for the curriculum shall conform with the policies and standards of the program set by the technical panel or an equivalent body.
- 19.2.6. The documentation of the proceedings shall include the summary of the proposed revisions as well as the rationale and basis for every revision.
- 19.2.7. Curricula shall be gender sensitive.
- 19.2.8. The curricula shall be prepared by the faculty in the department, endorsed by the College Dean, reviewed by the Director of Instruction and approved by the Vice-President for Academic Affairs.

### **19.3. Policies on Syllabi Review and Revision**

- 19.3.1. The review and enrichment of course syllabi shall be in accordance with the procedure set in the Office Manual of Procedures (ISO 9001:2015) of the Office of the Director of Instruction.
- 19.3.2. All syllabi shall be reviewed periodically for enrichment purposes.
- 19.3.3. The review shall be a cooperative effort of the Program Chair/Department Chair and with the faculty members teaching the subject.
- 19.3.4. Other than the University Philosophy, Vision, Mission, and Goals the syllabi shall reflect the Intended Graduate Attributes, the Intended Program Outcomes, Intended Course Outcomes.
- 19.3.5. The syllabi shall include the development of values and gender sensitivity in the learning outcomes.
- 19.3.6. All syllabi shall be in matrix form. The matrix includes the topics, intended learning outcomes, strategies and activities, tasks and assessments, resources, evaluation and time allotment.
- 19.3.7. The references shall include the complete bibliographical data such as author/editor, title, edition number, place of publication, publisher and copyright date.

- 19.3.8. The documentation of the review proceedings shall include the summary of enrichment made.
- 19.3.9. The syllabi shall be prepared by the faculty in the department and approved by the College Dean.

#### **19.4. Procedure in the Development of Instructional Materials**

- 19.4.1. The development and utilization of instructional materials shall be in accordance with the procedure set in the Office Manual of Procedures (ISO 9001-2015) of the Office of the Director of Instruction.
- 19.4.2. The faculty who desires to develop an instructional material shall submit the design of the material to the Department for approval.
- 19.4.3. The office of the Director of Instruction shall create a committee to evaluate the design. The Committee shall be composed of faculty members teaching the subject for which the instructional material is intended.
- 19.4.4. Upon approval of the materials design, the Office of Director of Instruction shall require the submission of a time table for the work plan.
- 19.4.5. The first draft of the instructional material shall be evaluated by the committee after which all suggestions for the improvement of the material shall be incorporated.
- 19.4.6. The Program Chair/Department Chair shall recommend the try-out of the instructional materials to the College Dean, to be approved by Campus Executive Officer.
- 19.4.7. The President through the Vice-President for Academic Affairs shall issue a written order to authorize the try-out or utilization of the material, without which no reproduction shall be made.
- 19.4.8. Try out of instructional materials shall start at the opening or first week of the semester.
- 19.4.9. After the tryout, the instructional material developer/s shall consolidate all the comments and suggestions of the teachers as inputs for the improvement of the material.
- 19.4.10. The Committee shall evaluate the second draft of the material on the basis of the incorporation of comments and suggestions of the teachers.

- 19.4.11. The material developer/s shall submit to the Program/Department Chairman a copy of the final form of the instructional material to be noted by the Dean and the Campus Executive Officer, then to be submitted to the Vice-President for Academic Affairs through the Office of the Director of Instruction.
- 19.4.12. The Dean shall recommend to the President through channels the appropriate utilization of the instructional material.
- 19.4.13. The instructional materials for tryout shall not be sold.
- 19.4.14. The instructional materials recommended as textbooks or reference materials shall be sold through the Campus or University Business Affairs Office.
- 19.4.15. The ODI shall be responsible in the implementation of the above policies.

## **Chapter V**

### **FACULTY DEVELOPMENT PROGRAM POLICIES AND GUIDELINES**

#### **Section 1: Rationale**

The present thrust of government efforts is the rapid socio-economic recovery of the country. With the economic crises, however, a developing country as ours should multiply efforts to achieve progress. The key word is productivity and moral rejuvenation, the guiding principle is unity and social responsibility.

Providing quality education is one among the many strategies adopted by the government to achieve these goals. The basic assumption is that the effectiveness of a Filipino in a developing country lies in his demonstrable skills, attitudes and qualities of a confident and self-reliant individual capable of solving his own problems creatively. The focus is directly on the improvement of productive skills, and the aim is to help students develop the several aspects of their citizenship roles.

Based on the above premises, faculty and staff development is an indispensable program in any institution of higher learning like the CSU. Improvement in the quality of instruction, research, extension and production depends significantly on the capability and qualifications of the faculty. As one of its major objectives, the CSU pursues an accelerated faculty development program. This is being carried out through scholarship programs, seminars and trainings sponsored by various agencies and by the CSU itself.

The scholarship program is intended to support highly qualified and deserving faculty to pursue masteral and doctoral degrees in addition to training in various areas of specialization. The ultimate goal is the effective and efficient implementation of programs in instruction, research, extension and production through upgraded and improved manpower capabilities and facilities.

#### **Section 2: Objectives of the Program**

The Faculty Development Program has the following objectives:

1. To upgrade the qualifications and capabilities of the faculty in instruction, research, extension, production and administrative services.
2. To develop a pool of high level manpower who could be assigned to more challenging jobs in the university.
3. To plan for the continuous upgrading and improvement of the manpower resources of the university through degree and non- degree oriented programs.

### **Section 3: Priority Areas of Study**

#### **3.1. The CSU Faculty Development Program Priority Areas**

##### **3.1.1. \*Degree Programs**

- Medicine
- Engineering
- Arts and Sciences
- Teacher Education
- Agriculture
- Fisheries
- Industrial Technology

\*Other degrees as maybe deemed a priority area by the Scholarship Committee.

##### **3.1.2. \*\*Non-Degree Program along**

- Instruction
- Research
- Extension
- Production

\*\* As may be deemed a priority by the Scholarship Committee.

#### **3.2. Dearth Programs**

The Scholarship Committee shall deliberate basing on the dearth programs and other needs of the University to include or exclude priority areas. The exclusion of a priority area enumerated in the Manual must be approved by the University President. For programs to be included in the priority area, such must be justified by the Scholarship Committee and approved by the University President. Inclusions must also bear the term of the length of time or period upon which they shall take effect. Inclusions without a period or term shall be treated as “applicable only on the scholarship or program where it was approved”.

### **Section 4: Sources of Scholarships**

Scholarship grants come from two major sources:

#### **4.1. CSU Faculty Development Program**

#### **4.2. External Scholarships Source, such as but not limited to:**

##### **4.2.1. Local / national agencies**

- Department of Science and Technology (DOST)
- Philippine Association of State Universities & Colleges (PASUC)
- Commission on Higher Education (CHED)
- Civil Service Commission (CSC)
- Association of the Schools of Public Administration of the Philippines (ASPAP)



- Department of Agriculture (DA)
- Philippine Council for Agriculture, Forestry and Natural Resources Research and Development (PCARRD)
- Commission on Population (POPCOM)

#### 4.2.2. International Scholarship Foundations

- Southeast Asian Ministers of Educational Organization – Regional Center for Graduate Study and Research in Agriculture (SEAMEO -SEARCA)
- Japan International Cooperation Agency (JICA)

4.2.3. Other external agencies which the Scholarship Committee shall identify or accredit as a possible source of scholarship.

### **Section 5: Classification of Scholarship Programs**

The CSU-FSDP supports two categories of programs:

- 5.1. Degree-oriented programs which include courses at the master's and doctoral levels in specific fields of specialization which are deemed priority areas in the university. Scholars under this category are either full-time or part-time.
- 11.5. Non-degree-oriented programs which include training courses, study tours and participation in conferences, seminars, workshops or similar development-oriented programs conducted locally or abroad by training institutions including CSU.

### **Section 6: Classification of Scholars**

6.1. For Degree-Oriented Programs (Masteral/Doctorate Programs):

#### 6.1.1. Full-Time Scholars

1. Externally-Based Full-Time Scholars refer to those who pursue their graduate studies outside the university on a full-time basis and who are entitled to study leave.
2. University-Based Full-Time Scholars refer to those who pursue their graduate studies in the university on a full-time basis and who are entitled to study leave.

#### 6.1.2. Part-Time Scholars

1. University-Based Part-Time Scholars refer to those who pursue their graduate studies in the University while rendering actual service
2. Externally-Based Part-Time Scholars refer to those who pursue their graduate studies in nearby universities while rendering actual service in CSU.

- 6.1.3. Thesis/Dissertation Grantees refer to those who are not recipients of a scholarship (full-time or part-time) grant but are recommended to receive financial assistance to complete their thesis/dissertation.

## 6.2. For Non-Degree-Oriented Programs

- 6.2.1. Non-Degree-oriented program recipients refer to faculty members who participate in study tours, short-term enhancement programs such as trainings, seminars, and conferences are entitled to the monetary incentives indicated in the approved program.

## Section 7: Selection of Scholars

### 7.1. Procedure

A two-stage procedure is observed in selecting scholars under the CSU Faculty Development Program.

#### 7.1.1. Pre-qualifying screening by the various colleges of the university.

The Deans/Campus Heads shall recommend a mechanism of selection in their respective colleges/campuses, which is in accordance with the guidelines of the University Scholarship committee.

##### 1. Criteria for selection of prospective scholars are based on the following:

- The area of specialization applied for is in line with the priority program areas of study.
- The applicant possesses the qualification requirements needed by the donors/schools granting the scholarship.
- The applicant is able to do course work.
- The applicant pledges to complete the scholarship.

##### 2. Based on the deliberation conducted in their respective College/Campus, applicants for scholarship shall be recommended by the Dean/Campus Executive Officer to the University Scholarship Committee.

#### 7.1.2. Selection by the University Scholarship Committee before final approval by the President.

The University Scholarship Committee is composed of:

Vice-President for Academic Affairs – Chairman  
Director of Instruction – Vice-Chairman  
Training Officer – Member  
University Finance Officer – Member  
President, University Faculty Association – Member  
Concerned CEO – Member

- 7.1.3. After deliberation of the University Scholarship Committee, the scholars are endorsed to the President for approval.
- 7.1.4. As soon as the recommendations for scholarship for a given period has been approved by the President, the Director of Instruction will individually notify the selected scholars. A Special Order is issued for this purpose. The scholar shall then submit the accomplished contract of scholarship.

## **Section 8: Requirements, Terms, and Conditions to Avail Scholarships**

### **8.1. Degree-Oriented Scholarship**

- 8.1.1. The applicant is a holder of a regular faculty plantilla position;
- 8.1.2. He/She must have been with the university for at least one (1) year;
- 8.1.3. He/She must not be currently enjoying any scholarship grant;
- 8.1.4. The program of study that the applicant is enrolled in or shall enroll in must be needs-based as determined by the college concerned;
- 8.1.5. Proof of admission by the University or Agency where scholar intends to enroll in;
- 8.1.6. The awardee must sign a scholarship contract with the University before the scholarship is awarded;
- 8.1.7. Scholars are required to finish their program of study within the allotted period follows:
  1. For Full-time Scholars:
    - A full-time scholar shall complete a master's degree within four semesters and an additional one-semester extension on official time, excluding the summer term of the last academic year of the scholarship.
    - A full-time scholar shall complete a doctorate degree within six semesters and an additional two-semester extension on official time, excluding the summer term of the last academic year of the scholarship.
  2. For Part-time Scholars:
    - A part-time scholar shall complete a master's degree within four (4) semesters and an additional two-semester extension on official time, excluding the summer term of the last academic year of the scholarship.

- A part-time scholar shall complete a doctorate degree within six semesters and an additional three-semester extension on official time, excluding the summer term of the last academic year of the scholarship.
- 8.1.8. If enrolled in other Universities/ Colleges, the scholar must be enrolled in accredited institutions;
  - 8.1.9. No scholar shall be allowed to transfer to other schools or training institutions, or shift to other fields of specialization without the prior approval of the university.
  - 8.1.10. Unapproved transfer or shifting shall be sanctioned by withdrawal of privileges.
  - 8.1.11. Failure to finish studies or trainings – a scholar who fails to complete studies, trainings, or thesis/dissertation within the prescribed period for unjustified reasons shall be required to return the full amount actually received by him/her to the University.

## **8.2. Non-Degree-Oriented Assistance**

- 8.2.1. Aspiring faculty member should not be undergoing any scholarship or grant under Chapter V of this Manual to enjoy scholarships/grants;
- 8.2.2. Topic/Subject of the Seminar, Workshop, or other forms of training to be attended by the Faculty member should be related to the Priority areas in the manual;
- 8.2.3. Cost to be shouldered by the University shall be deliberated by the Scholarship Committee;
- 8.2.4. A recipient who fails to complete trainings or seminars attended for unjustified reasons shall be required to return the full amount actually received by the him/her to the University;
- 8.2.5. Allowable duration for Non-degree-oriented programs shall be determined by the Scholarship Committee; and
- 8.2.6. Faculty who are currently under any scholarship are not eligible for non-degree-oriented assistance or courses.

## **Section 9: Application Requirements for Scholarship**

### **11.2. Degree-Oriented Programs**

1. Letter of intent to apply for scholarship addressed to the Dean;
2. Flyers or other sources of information on the school where faculty member is enrolled in or wishes to enroll in;
3. Clearance; and
4. Official Transcript of Records.

### **11.3. Non-Degree-Oriented Programs**

1. Letter of intent to attend seminar, workshop, or other forms of training addressed to the Dean/Campus Executive Officer;
2. Flyers or other sources of information on the organization/group who organized the seminar, workshop, or other forms of training;
3. Clearance; and
4. Literature on the seminar, workshop, or other trainings to be attended to.

## **Section 10: Responsibilities of the Scholar**

For the duration of the scholarship, the scholar has the following responsibilities:

### **10.1. Degree-Oriented Programs**

10.1.1. Maintain a general average of 1.75 or better throughout the scholarship and must not have any failures or dropped subjects due to delinquency;

10.1.2. For Full-time scholars:

1. Carry the following academic load:
  - That which is prescribed by the institution where the scholar is enrolled;
  - But must not go below 12 units during regular semester; and
  - Not below 6 units during summer.
2. Devote full-time to their studies

10.1.3. For Part-time scholars:

1. Carry the following academic load:
  - Not lower than 9 units during regular semester, and
  - Not lower than 6 units during summer.

10.1.4. Comply with all regulations set by their school or trainings agency and under the provisions of their scholarship.

10.1.5. Submit copy of registration card within one week after enrolment

10.1.6. Submit to the ODI periodic progress reports required such as:

1. Copy of grades before stipend can be released for the succeeding term
2. Result of qualifying/comprehensive examination upon release
3. Copy of the approved research proposal for the initial release of the thesis/dissertation allowance

4. Final report including transcript of records, and two bound copies of thesis/dissertation after completion

## **10.2. Non-Degree-Oriented Programs**

- 10.2.1. Be present in all sessions for the duration of the seminar, works, or other form of trainings attended;
- 10.2.2. Request copies of presentation of speakers/lecturers; and
- 10.2.3. Immediate submission of completion report to the Director of Instruction on study tours, seminars, workshops, conferences, and trainings attended with handouts as attachments.

## **Section 11: Assistance to be given to Scholars/Grantees**

The assistance given to scholars, either in Degree-Oriented or Non-Degree-Oriented Programs shall be subject to auditing procedures as far as they are applicable.

### **11.1. Degree-Oriented Programs**

#### **11.1.1. Full-time Scholars**

1. Tuition and other school fees with a maximum amount of P30,000/semester
2. Book allowance of P2,000.00/semester
3. Round trip transportation expense from the start of the grant to the last semester covered by the period (For Externally-Based Full Time Scholars Only) (not to exceed amount as indicated in the contract between the University and the Scholar. If no amount is indicated, then an amount of P10,000.00 for the duration of the scholarship is presumed to have been agreed upon);
4. Monthly stipend of P5,000.00
5. Thesis assistance of not more than P25,000 for masteral and P40,000 for doctoral to cover actual costs of supplies, materials, travel expenses in data gathering, and services such as encoding, printing, and binding of manuscript
6. For experimental researches along applied and natural science, additional thesis/dissertation assistance of P10,000
7. Payment of honoraria for members of thesis/dissertation panel (not to exceed a total amount of P5,000.00)

8. Payment of graduation expenses charged by the school (not to exceed a total amount of P10,000.00)

#### 11.1.2. Part-time Scholars

1. Part-time scholars are entitled to the same benefits granted to full-time scholars except for the provisions indicated hereafter;
2. Tuition and other school fees shall be based on actual cost (not to exceed amount as indicated in the contract between the University and the Scholar. If no amount is indicated, then an amount of 30,000/semester is presumed to be the maximum per semester);
3. Externally-based Part-Time scholars studying outside the province are entitled to transportation allowance of actual expenses; and
4. Part-time scholars shall not be entitled to transportation expenses and monthly stipends.

#### 11.1.3. Thesis/Dissertation-only grantees

1. Thesis assistance (to cover actual costs of supplies, materials, travel expenses in data gathering, and services such as encoding, printing, and binding of manuscript):
  - Masters – not more than P25,000;
  - Doctorate – not more than P40,000; and
  - For experimental researches along applied and natural science, additional thesis/dissertation assistance of P10,000.
2. Payment of honoraria for members of thesis/dissertation panel (not to exceed a total amount of 5,000.00).

### 11.2. Non-Degree-Oriented Programs

- 11.2.1. Cost indicated in the letter request subject to return of excess amounts as against actual cost;

#### 11.2.2. Allowed expenses include:

1. Travel expenses;
2. Meals, if no per diem is released and/or if not included in the registration fee;
3. Accommodation, if no per diem is released and/or if not included in the registration fee; and

#### 4. Registration fee.

### **Section 12: Terms on Extension of Scholarship**

#### 12.1. Grounds for Extension

##### 12.1.1. Extension may be requested under two grounds:

1. For research, which requires a recommendation letter of the grantee's major adviser to support a request for extension accompanied by a copy of the research proposal; and
2. For leave of absence, where the Grantee may be allowed to take a leave of absence using his leave credits for extension subject to the following:

12.1.2. A maximum leave of absence equivalent to one (1) school year for unavoidable circumstances/reasons may be permitted by the President for the duration of the scholarship provided the leave is recommended by the academic adviser of the scholar concerned.

12.1.3. A scholar will not be paid stipends and other monetary incentives while on leave of absence.

12.1.4. A scholar who is on study leave, whether on regular period of scholarship or extension, is not allowed to teach either in the undergraduate or graduate school as their overload.

##### 12.1.5. Request for extension must be made in writing and submitted:

1. A month before the start of the semester for extension(s) based on research; or
2. As soon as reason for leave of absence occurs for extension(s) based on leave of absence.

### **Section 13: Return Service**

#### **13.1. Degree-Oriented Programs**

##### 13.1.1. Full-Time and Part-Time Scholars

1. Must render a return service in the university equivalent to one (1) year for every year of scholarship within the country.
2. For Externally-Based Full-Time Scholars studying abroad, a return service in the university equivalent to two (2) years for every year of scholarship outside the country.



#### 13.1.2. Thesis/Dissertation Assistance Grantees

1. Must render a return service of one (1) year, regardless of amount granted.

### **13.2. Non-Degree-Oriented Programs**

#### 13.2.1. For International Non-Degree-Oriented Programs attended:

1. Recipients must submit reports or echo what they have learned to in their respective college/campus.
2. Render a return service of two (2) years.

#### 13.2.2. All other Non-Degree-Oriented Programs attended shall have their return of service indicated in their respective contracts. Such shall be determined by the Scholarship Committee.

### **Section 14: Penalty Provisions**

Recipients of privileges under the CSU-FDP must reimburse the total amount spent for their program and all the salaries and benefits received during the scholarship period in case of:

1. Unauthorized transfers from one school to another or from one program to another.
2. Acceptance of any employment which may prejudice the scholarship performance of the grantee.
3. Willful abandonment of the scholarship or leave of absence without approval.
4. Refusal to abide by or observe the terms and conditions specified in the scholarship contract.
5. Non-completion of the degree/training
6. Gross misconduct

## CHAPTER VI

### APPLICATION OF THE UNIVERSITY'S INTELLECTUAL PROPERTY POLICY AFFECTING ACADEMIC DEALINGS OF FACULTY MEMBERS, STUDENTS, VISITORS AND EMPLOYEES

#### “ARTICLE 5

#### OWNERSHIP AND RIGHT OF USE

##### A. INTELLECTUAL PROPERTY CREATED BY STAFF MEMBERS

##### **5.1. IP Created by Staff Members**

##### **5.1.1. Institution ownership.** The Institution owns all IP created by a Staff Member:

- a. in the course and scope of his/her employment; or
- b. making Substantial Use of the Institution's resources.

##### **5.1.2. Staff Member ownership.** Staff Members will own/co-own the IP they have created when such IP:

- a. is outside the course and scope of their employment and without Substantial Use<sup>1</sup> of the Institution's resources;
- b. vests in Scholarly Works (see Article 5.5);

##### **5.1.3. IP emanating from Research Contracts.** In the absence of provisions to the contrary in any national law or where there is no Substantial Use of the Institution's resources, the terms of the Research Contract will regulate ownership of IP created by Staff Members in the course of a Research Project that forms part of a Research Contract, as set out in Article 7<sup>2</sup>.

##### **5.1.4. Appointment of Staff Members at another Institution.**<sup>3</sup> It is the responsibility of each Staff Member that holds an honorary or other academic or research appointment at another institution (Host Institution) to bring to the attention of the Host Institution, including its IPMO, his/her obligations in terms of this Policy, prior to the tenure at the Host Institution. To the extent that the Host Institution's IP Policy makes a claim on IP created by the Staff Member pursuant to such appointment, the Staff Member shall ensure that the Host Institution negotiates a suitable IP arrangement with the Institution.

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<sup>1</sup> Use will be deemed not Substantial if minimal overhead costs have been incurred by the Institution (such as the use of office space, the library, facilities or traditional desktop computers); only a minimal amount of time has been spent using significant Institution facilities; or the IP has been written or developed in the personal (unpaid) time of the Creator.

<sup>2</sup> See Addendum 1.

<sup>3</sup> This means that such Staff Members are visitors at another institution.

## **B. INTELLECTUAL PROPERTY CREATED BY STUDENTS**

### **5.2. IP Created by Students**

5.2.1. **Student ownership.** IP created by a Student in the course of study at the Institution (including theses, dissertations and other Scholarly Works) will be owned by the Student. This is in contrast to IP created by a Student in a Research Project, as per Article 5.2.3 below.

5.2.2. **Theses or dissertations.** A student shall own the copyright of his/her thesis/dissertation subject to the provisions of applicable laws such as the Technology Transfer Act of 2009, the provisions of this policy as well as any agreement(s) with the university and/or external parties. In order to enable the university to perform its mission of transferring knowledge and technology for the public benefit, the student shall grant to the university a non-exclusive worldwide, royalty free license to reproduce, publish and publicly distribute copies of said thesis/dissertation in whatever form subject to the provisions of applicable laws, the provisions of this policy and any contractual stipulations. The Student must submit his/her final thesis or dissertation to the Institutional repository. The Student must grant a royalty-free license to the Institution to reproduce his/her thesis or dissertation and to distribute copies thereof to the public.<sup>4</sup> In no circumstance does a thesis or dissertation adviser can claim IP rights on the student's work.

5.2.3. **Institution ownership.** IP emanating from a Student's Research Project shall be owned by the Institution in the following circumstances:

- a. if the IP is created by making Substantial Use of the Institution's resources (excluding supervision) and there is no re-imbursement agreement concluded between the Institution and the Student; or
- b. if the Research carried out by the Student forms part of the Institution's Research Projects.

5.2.4. **IP emanating from Research Contracts.**<sup>5</sup> The terms of the Research Contract shall regulate the ownership of IP created by a Student in the course of such Research Contract, as set out in Article 8<sup>6</sup>.

5.2.5. **Institution ownership responsibilities.** If the Institution is the owner of IP created by a Student, in terms of Article 5.2.3 or Article 5.2.4, and hence created in terms of a Research Project or Research Contract, respectively, the Institution shall:

- a. provide the Student with an explanation of the reasons for the assignment of IP rights to the Institution;
- b. advise the Student to seek independent advice regarding the assignment;

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<sup>4</sup> The Rules of the Institution generally require, as a condition of enrolment, that the Institution reserves the right to retain the original or copy of any theses, and a license as described in Article 5.2.2. Reference should be made to the applicable Rules. Such retention does not affect any copyright or other IP right that may exist in such theses.

<sup>5</sup> That is, if the Student is participating in a Research Project under a Research Contract between the Institution and an external entity or research sponsor.

<sup>6</sup> See Addendum 2.

- c. obtain a deed of assignment from the Student for all IPRs emanating from the Student's Research Contract or Research Project, where relevant, in return for revenue sharing as provided for in Article 10<sup>7</sup>; and
  - d. withdraw the Student from the Research Project or Research Contract if a Student elects not to assign the relevant IPRs to the Institution.
- 5.2.6. **Bursaries/scholarships.** An external party that grants a bursary or scholarship to a Student may elect to own the IP created by that Student in the course of his/her study at the Institution provided the Student and the Institution have consented to the assignment of IP ownership in writing and such consent is not contrary to any applicable local or national law.
- 5.2.7. **Student Owned IP.** IPMO may, upon agreement, provide Commercialization services to Students for their IP.

In this event, Students may be required to assign their IP to the Institution and will be afforded the same rights and obligations as Staff Members under this Policy; or in the absence of an assignment of the IP to the Institution, the Students and IPMO may agree on the specific Commercialization services required, either at no cost to the Student; or in exchange for an agreed fee being paid to the Institution; or sharing of Commercialization revenues accruing to the Students.

## **C. INTELLECTUAL PROPERTY CREATED BY VISITORS**

### **5.3. IP Created by Visitors**

- 5.3.1. **Institution ownership.** Unless otherwise agreed to in writing by the Institution and the Visitor's home institution prior to the tenure at the Institution, Visitors are required to assign to the Institution any IP:
- a. created in the course and scope of their Appointment at the Institution; or
  - b. created by making Substantial Use of the Institution's resources.
- 5.3.2. **Institution IP.** On departure from the Institution, a Visitor must sign and submit to IPMO an IP Disclosure form disclosing any IP created, as per Article 5.3.1, whilst at the Institution.

## **D. SPECIAL RULES FOR INSTRUCTIONAL MATERIALS**

### **5.4. Special Rules for Instructional Materials**

- 5.4.1. **Institution ownership.** The Institution will own the IP in Instructional Materials created by a Staff Member or a Visitor, with the exclusion of Instructional

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<sup>7</sup> See Addendum 3.

Material that is created from or for Open Educational Resources, in accordance with Article 5.7.1.

- 5.4.2. **Licensed by the Institution.** The Institution grants the Creators of Instructional Materials a royalty-free, non-exclusive license to use the Instructional Materials created by them for teaching and Research purposes at the Institution. With the express prior written permission of the Institution, such license may be utilized for commercial purposes outside the Institution.

## **E. SPECIAL RULES FOR SCHOLARLY WORKS**

### **5.5. Special Rules for Scholarly Works**

- 5.5.1. **Publication.** The Institution recognizes and endorses the rights of Staff Members, Students and Visitors to publish their Scholarly Works, provided that any Scholarly Work which may disclose any possible Institutional IP shall first be cleared by IPMO after having an opportunity to protect such Institutional IP according to Article 8.
- 5.5.2. **Institutional repository.** Staff Members, Students and Visitors should endeavor to obtain publishers' permission to include published Scholarly Works in the Institutional repository whether as a published edition or in pre-publication form.
- 5.5.3. **Licensed to the Institution.** Staff Members, Students<sup>8</sup> and Visitors shall grant to the Institution a non-exclusive, royalty free license to use their Scholarly Works for the Institution's administrative, promotional, research and teaching purposes.

## **F. MORAL RIGHTS**

### **5.6. Moral Rights**

- 5.6.1. **Recognition.** The Institution undertakes to respect and protect the moral rights which copyright law confers on Authors of copyright works.
- 5.6.2. **Rights granted.** The Institution acknowledges that moral rights vest in Authors of copyright works irrespective of the copyright ownership thereof and include:
- a. the right of attribution of authorship in respect of the copyright works;
  - b. the right not to have authorship of the copyright works falsely attributed; and
  - c. the right of integrity of authorship in respect of the copyright works.
- 5.6.3. **No waiver.** The Institution will not require Staff Members, Students or Visitors to waive their moral rights as a condition of employment, enrolment, Appointment or funding.

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<sup>8</sup> This obligation can be enforced against Students through a provision in the Student registration form in terms of which the license is granted to the Institution.

## **ADDENDUM 1.**

### **ARTICLE 7** **RESEARCH CONTRACTS**

- 7.1 **Authority.** Staff Members, Students and Visitors shall not have the right to enter into a Research Contract with external parties on behalf of the Institution unless they are authorized to do so by an official representative of the Institution.
- 7.2. **Research Contract Policy.** All Research Contracts must be executed and performed in compliance with the Institution's Research Contract Policy.
- 7.3. **Due diligence.** Persons acting for and on behalf of the Institution shall exercise all due diligence and consult IPMO when negotiating and signing contracts that may affect the Institution's IPRs.
- 7.4. **Ownership and rights to use.** Subject to any provisions in law to the contrary, ownership and rights to use shall be agreed upon with the external entity, in accordance with the national law guidelines.
- 7.5. **Government rules.** Research Contracts shall comply with any applicable law and/or Government regulations and/or rules, which may be applicable to Research undertaken by the Institution, in particular, as far as it relates to the ownership of IP resulting from such Research. The appropriate legal representative of the Institution will be consulted in this respect before signature of any Research Contract unless this responsibility has been delegated to IPMO by the Institution.
- 7.6. **Approval.** Proposed Research Contract and other legal statements concerning the Institution's IPRs shall comply with the provisions of this Policy. Any variance from this Policy must be approved by the University President through the recommendation of the Senior Responsible Officer.
- 7.7. **Basic Principles.** The IP clauses in all Research Contracts shall be governed by the following basic principles:
- 7.7.1 **Concluded from the outset.** A Research Contract must be executed in writing and signed by the Institution and the external party(ies)/sponsor(s) prior to the commencement of any Research Project and, as appropriate and without limitation, must contain terms relating to ownership, management and use of IP arising from the Research Project as well as any Background IP.
- 7.7.2. **Background IP.** All Institution Background IP must be properly recorded and declared prior to the commencement of a Research Contract and belongs to the Institution. Similarly, Background IP of the external party/sponsor, belongs to such party or sponsor. Use of such Background IP requires express written permission.
- 7.7.3. **Foreground IP (IP arising from the Research Contract).** IP generated pursuant to a Research Contract by Staff Members, Students or Visitors shall be governed in terms of the above provisions relating to IP generated by these parties. The general rule is that such IP shall be owned by the Institution.

7.7.4. **Co-owned Foreground IP.**

- a. **Terms for co-ownership.** Co-ownership of IP generated pursuant to a Research Contract shall be in accordance with national legislative provisions, failing which, as per the percentage of IP created by the Institution and the external party(ies)/sponsor(s)]; or in an equal undivided manner or as mutually agreed contractually.
- b. **Costs for protecting and maintaining co-owned IP.** The costs for protecting and maintaining any IPRs shall be shared between the Institution and the external party(ies)/sponsor(s) in accordance with the percentage of IP ownership; in an equal manner; or as mutually agreed contractually.

7.7.5. **Serendipitous IP<sup>9</sup>.** Any IP created during the course of the Research Contract which falls outside of scope of the Research Contract shall be owned by the Institution or the external party(ies)/sponsor(s) which developed such IP, unless agreed contractually otherwise in the Research Contract.

7.7.6. **Right of first refusal to the IP.** The Research Contract may include provisions giving the external party(ies)/sponsors, a right of first refusal to Commercialize the IP emanating from the Research Contract, through a license or joint venture arrangement or assignment.

7.7.7. **Publication delay.** It is the strict policy of the Institution to allow Creators freedom to publish their work. However, the Institution acknowledges that delays in publication for the purpose of initiating statutory protection of the IP is often necessary. In this regard, the Institution will agree, on a case-by-case basis, to a contractual delay in publication by Creators. Such delay will not exceed 90 days from the date IPMO is notified of the intent to publish, unless authorized by the Senior Responsible Officer. IPMO may, if so required, will facilitate the signing of a non-disclosure agreement by the journal appointed peer reviewers, such that review of the article for publication can proceed while the necessary procedures are being followed for IP protection.

7.7.8. **Use of the IP for Research and teaching.** In instances, where the Institution IP is licensed exclusively or assigned as part of the Research Contract, all efforts should be made to secure a royalty-free license for use of the IP for on-going Research and teaching purposes.

7.8. **Exceptions to the Policy.** In certain cases, it may be necessary and/or beneficial to the Institution to enter into a Research Contract that contains exceptions to the provisions of this Policy. Any such exceptions require prior, written approval from the Senior Responsible Officer.

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<sup>9</sup> Results are serendipitous when research that was originally funded for one purpose turns out to be useful for another purpose.

## **ADDENDUM 2.**

### **ARTICLE 8** **DETERMINATIONS BY THE IPMO**

#### **8.1. Responsibility to Disclose IP**

- 8.1.1. **Recording.** Creators shall keep appropriate records of their Research in accordance with the Institution's applicable policy procedures and make reasonable efforts to ensure that only those individuals within the Institution who have a need to have access to such records for the performance of their duties are granted such access.
- 8.1.2. **IP Disclosure.** Where a Creator identifies potential IP resulting from his/her Research [or that of his/her team], he/she shall disclose such potential IP to IPMO promptly by means of an IP Disclosure Form.
- 8.1.3. **Complete disclosure.** Creators must provide to IPMO such full, complete and accurate information as IPMO may reasonably require to enable it to sufficiently assess the technical and related features and functions, ownership, commercial potential and IP protection that might be applicable to such IP. Upon complete disclosure, the IP Disclosure will be registered and assigned a reference number and IPMO will share this reference number with the Creators to signify that the IP Disclosure has been formally received by the Institution.
- 8.1.4. **Disclosure Clause for IP related to GRs and/or TK.** When potential IP has been developed using GRs and/or TK, the IPMO shall require its Creators to disclose relevant information, in accordance with national legislation.

#### **8.2. Creatorship and Ownership**

- 8.2.1. **Creatorship.** Creators shall, upon request, sign the appropriate legal documents provided by IPMO that attest to creatorship. Where there is more than one Creator, and there is a dispute as to the contribution to creatorship, IPMO shall in consultation with the Creators, assist in the determination of the percentage IP creatorship, failing which it shall be assumed that there was an equal undivided contribution.
- 8.2.2. **Ownership.** Once creatorship has been determined, the Creators shall be required to formally assign any right, title or interest they may have in that IP to the Institution in the form of a contract that specifies the rights that will accrue to the Creator(s) and the Institution and the obligations they will have to assist the Institution with the Commercialization of that IP. Article 9.3 will apply.

#### **8.3. Determination as to IP Protection and Commercialization**

- 8.3.1. **Evaluation and recommendation.** IPMO will analyze the information disclosed in the IP Disclosure within 60 days of formal receipt. The analysis will include: whether or not the subject matter is protectable as IP; an assessment of economic viability or marketability; and determination of any rights of external parties, such as a funder or collaborator. After evaluation, IPMO will prepare a preliminary report with findings that enable the Institution to decide if it will proceed with IP protection and Commercialization. IPMO shall share the preliminary report with the Creator(s), and seek their input.



- 8.3.2. **Decision to protect/Commercialize.** The Institution will decide, as soon as reasonably practicable, whether or not it wishes to protect and/or Commercialize the IP. IPMO will use all reasonable efforts to notify the Creator(s) of the Institution's decision within 60 days of formal receipt of the IP Disclosure. IPMO will also make a determination in relation to the validity of any claim made by a Staff Member, a Visitor or a Student that they are the true Creator(s) of that IP and in relation to their rights under this Policy.
- 8.3.3. **Institution's obligation to notify Creators of its decision.** Within no more than 60 Days IPMO will notify the Creator(s) of the decision of whether the Institution will or will not pursue IP protection and Commercialization of their IP Disclosure.
- 8.4. Institution Elects not to Protect /Commercialize the IP**
- 8.4.1. **IP abandoned or not Commercialized.** The Institution reserves the right not to protect or Commercialize IP that it owns if after consultation with the Creators:
- a. there is no reasonable prospect of commercial success;
  - b. it is not deemed to be in the best interest of the Institution; or
  - c. it is not deemed to be in the public interest.
- 8.4.2. **Transfer of Ownership.** In the event the Institution decides not to pursue IP protection and/or Commercialization, it will take steps to return said IPRs to the Creator(s), contingent on any other superseding contract rights of external party(ies)/sponsor(s).
- 8.4.3. **Written notification.** If the Institution is unable to or decides not to protect or Commercialize the Institution IP, it should notify the relevant Creator(s) of its decision in writing and in a timely<sup>10</sup> manner.
- 8.4.4. **No prejudice to IP protection.** The Creator(s) should receive the written notification in a timely manner that enables the relevant Creator(s) to take any formal steps to ensure the protection of IP, should they so desire.
- 8.4.5. **Assignment.** If the Creator elects to take assignment of the IP, the Institution shall ensure that a deed of assignment is executed without delay.
- 8.4.6. **Terms and conditions.** If the Institution assigns IPRs to the Creator in terms of this Article 8.4.5, the assignment may be subject to one or more of the following terms and conditions:
- a. that upon Commercialization, the Institution be compensated for any expenditure it may have incurred in connection with the protection and/or Commercialization of such IP; and/or
  - b. that the Institution be granted a non-exclusive, royalty-free licence to use the IP for Research and teaching purposes.

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<sup>10</sup> "Timely" means sufficient to not cause the loss of IP rights by failure to act.

### **ADDENDUM 3.**

## **ARTICLE 10** **INCENTIVES AND DISTRIBUTION OF REVENUES**

### **10.1. The Institution's Incentive Structure**

- 10.1.1. **Purpose and scope.** The Institution, in the interest of promoting knowledge transfer, will give due consideration to incentives to researchers to foster Research that has socio-economic impact; such incentives may be financial or non-financial. A Creator/Enabler may receive incentives from each IP they created/enabled which is Commercialized.

### **10.2. Sharing of Revenues**

- 10.2.1. **General.** The Institution, in line with the minimum requirements set out in the Intellectual Property Code of the Philippines, and Technology Transfer Act of the Philippines will award Creators/Enablers in the sharing of monetary benefits that may accrue to the Institution from the Commercialization of Institution IP.

- 10.2.2. **Calculation of revenues for distribution.** Calculation of Gross IP Revenue, IP Expenses, and Net IP Revenue shall be in accordance with the following rules:<sup>11</sup>

- 10.2.2.1. **Calculation of Gross IP Revenue.** "Gross IP Revenue" is defined in Article 2 as "*all revenue received by the Institution for Commercialization of Institutional IP before any cost recovery or deductions for IP Expenses*" and includes, but is not limited to, outright sale of IP, option payments received, licence fees received, evaluation fees received, upfront and milestone payments received, royalty payments received, share of profits received, dividends received, commissions, income through disposal of equity, and direct sale of products or services.

- 10.2.2.2. **IP Expenses.** "IP Expenses" is defined in Article 2 as "*all expenses incurred by the Institution in the management of IP for which Gross IP Revenue has been received*" and includes, but is not limited to, those expenses that relate to (i) the Institution's expenses incurred by payment to external entities for securing, maintaining and enforcing IP protection, such as patenting and litigation expenses; (ii) costs incurred by the Institution in the licensing/assignment of IP, including marketing costs, contract negotiation and drafting costs; and (iii) costs in making, shipping or otherwise, and distributing products, processes or services that embody the particular IP, but not including staff time or general administrative costs.

- 10.2.2.3. **Calculation of Net IP Revenue.** IPMO shall maintain accurate and transparent documentation of IP Expenses incurred for a

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<sup>11</sup> Article 10.2 needs to be adapted to applicable national laws which may contain mandatory rules for the calculation of the Gross and Net IP Revenues and/or for the sharing of benefits. The national laws may set minimum requirements but this does not stop the Institution from being more generous, for example if the national laws require 20% of the Gross IP Revenues to be distributed, an Institution can legally provide for 25% of the Gross IP Revenues to be distributed.

particular IP and shall be entitled to cover all IP Expenses it has incurred, as set out in 10.2.2.2 above. The “Net IP Revenue” is calculated as the Gross IP Revenue less IP Expenses.

10.2.2.4. **Co-owned IP.** Where the IP is co-owned by the Institution and an outside organization, the Gross IP Revenue received by the Institution will be shared in accordance with a pre-determined formula as per a contractual arrangement. Thereafter, the Gross IP Revenue received by the Institution and the Net IP Revenue will be determined, and revenues will be shared in accordance with section 10.2.3.1 and 10.2.3.2 below.

### 10.2.3. **Sharing of revenues – Creators/Enablers**

#### 10.2.3.1. **Standard Creator’s share.**

Creators, the author(s), inventor(s) shall receive at least forty percent (40%) of the Net IP Revenue received by the university. Collaborating authors or inventors shall share in accordance with the determination of their participation in the authorship or invention as prescribed in these rules.

Thirty percent (30%) of the remainder of the Net IP Revenue received by the university from the commercialization of the intellectual property shall go to the CSU system, while seventy percent (70%) shall go to the constituent university campus without prejudice to such policies or arrangement that the constituent university campus may have with respect to sharing its allocation of the net income with the department/s or unit/s from which the intellectual property originated.

The term royalty as used in this Policy is understood to mean royalty as defined by the Magna Carta for Scientists, Engineers, Researchers and other S and T personnel in the Government (R.A. 8439) and its Implementing Rules and Regulations and shall be net of applicable taxes.

#### 10.2.3.2. **Standard Enabler’s share.**

Creator(s) may at their joint sole discretion choose to provide for Enablers to receive a share of the Creator(s)’ portion of the Gross or Net IP Revenue. This arrangement must be agreed to in writing by all Creators, if more than one.

**Disputes.** In the event of a dispute or uncertainty regarding the Creators’/Enablers’ share of the Gross or Net IP Revenue from a specific IP, the issue shall be brought for resolution to the IP Committee.

10.2.3.3. **Payment.** Payment to the Creators/Enablers will be made by the Institution on a periodic basis as agreed in writing, but no

later than 12 months after receipt of the Gross IP Revenue by the Institution.

10.2.3.4. **Taxes.** Payments made as per 10.2.3.3 are subject to personal tax<sup>12</sup>. The Institution may, if so obliged by national tax laws, make any applicable tax deductions before making payments to the Creators/ Enablers.

10.2.3.5. **Entitlement.** Creators/Enablers and their heirs will be entitled to IP revenue sharing for as long as the Institution receives Gross IP Revenues from Commercialization of the Institution IP. The entitlement to a Creator's/Enabler's share of Gross or Net IP Revenue shall survive any resignation/termination of employment.

10.2.3.6. **Banking details.** The onus is upon each Creator/Enabler to ensure that the Institution has their current banking details for the purpose of revenue sharing. The Institution will keep the relevant IP revenue amounts in reserve for a maximum period of 3 (three) years after which all rights of Creators/Enablers to receive such payments will be forfeited. If the Institution pays an amount into an incorrect account as a result of information supplied to it being outdated or incorrect, the Institution will not have any further obligation or liability in respect of such payment, which will be deemed to have been duly and properly made.

10.2.4. **Sharing of revenues – Institution.** The Institution's share of Net IP Revenue is distributed internally as follows:

20% for further Research;
30% to IPMO;
20% for further IP prosecution and maintenance costs; and
30% to institutional overheads.

### 10.3. Other Incentives

10.3.1. **General.** As a default position, the Institution will refrain from accepting non-monetary benefits for the Commercialization of its IP or from offering incentives other than revenue sharing, unless they are in addition to the revenue sharing as per 10.2.3.1 and 10.2.3.2, as appropriate. The Institution will thus give consideration, on a case-by-case basis, to the provision of other incentives, where monetary benefits (revenues) are not available or where the Creator/Enabler elects to choose other benefits *in lieu of* revenue sharing, which may only be realized in due course. Other incentives will include, but are not limited to, the incentives described in Article 10.3.2. – 10.3.4.

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<sup>12</sup> National law tax provisions should be consulted.

- 10.3.2. **Growth, development and acknowledgement.** A framework for growth and development of the Creator/Enabler in their professional and personal capacity shall be developed including (i) recognition of IP generation and Commercialization performance in appraisal procedures; and (ii) opportunities for enterprise development or capacity development through, for example, specific training opportunities, sabbaticals, and local and international exchanges in their relevant Research field or in the field of IP management and knowledge transfer.
- 10.3.3. **Research funds.** The Institution will actively, through its IPMO, promote, source and/or facilitate collaborative arrangements with industry partners to secure funding for further Research for the Creators/Enablers.
- 10.3.4. **Creator/Enabler receiving shares in a Commercialization Entity or other licensee.**
- 10.3.4.1. In the case where a Creator/Enabler is granted equity in a Commercialization Entity that licences the Institution IP which the Creator/Enabler has created,<sup>13</sup> such Creator's/Enabler's portion in the standard revenue sharing formula of Article 10.2.3.1 or 10.2.3.2 will be unaffected. All other Creators/Enablers will be rewarded in accordance with the formula in Article 10.2.3.1 or 10.2.3.2.
- 10.3.4.2. Where the Institution receives shares in a licensee company, which company may be a Commercialization Entity, as consideration for an IP license, the Institution will hold all the shares until liquidation, at which time the income will be considered Gross IP Revenue and the Creators/Enablers will receive their share according to the revenue sharing formula in Article 10.2.3.1 or 10.2.3.2.
- 10.3.4.3. Notwithstanding the benefit sharing in respect of shares in terms of this Article 10.3.4, the Creators/Enablers will still be entitled to their share of any other revenues under the IP license.

## 10.4. Contact Details

- 10.4.1. **Contact details.** The onus is upon each Creator/Enabler to ensure that the Institution is in receipt of their current address details for the purpose of revenue sharing. Unless contrary to law, should the Institution be unable to locate the Creators/Enablers through reasonable efforts, in order to effect payment of the revenue share amount, and a period of five years has passed since an initial attempt, then the portion owed to that Creator/Enabler or his/her heirs will be paid to the Institution's central fund to be used to support Research and innovation activities.

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<sup>13</sup> The institutional policy regulating Conflict of Interests must be consulted to assess additional measures that should be put in place especially when the researcher outsources research to the spin-off or start-up company, in which the researcher has a material interest.

**ACADEMIC MANUAL**  
**University Review Committee**

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