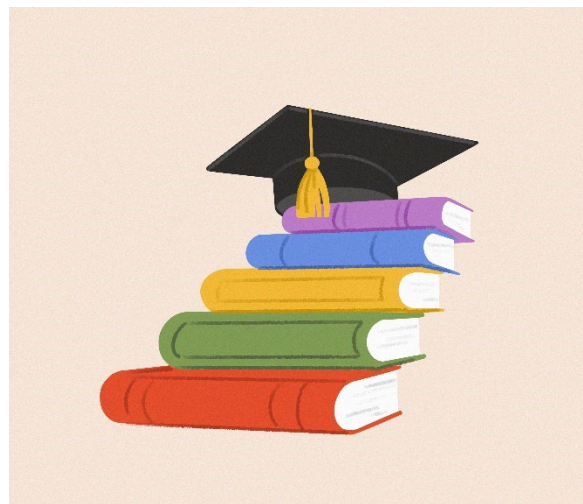




# **FACULTY MANUAL OF OPERATING PROCEDURES**

## **Cavalla International University**



**2024-2025**



## **History**

**Cavalla International University** is named after the USS Cavalla 244 Submarine (“Avenger of Pearl Harbor”) because of its fierceness in the international waters of Asia during World War II. From 1944-1946, Cavalla was an attack submarine, sinking over 34,000 tons of enemy shipping including the Imperial Japanese Navy’s carrier, Shokaku during the Battle of the Philippine Seas. After the war, she was decommissioned and placed in the Navy Reserve Fleet, New London CT.

The USS Cavalla (SS-244) was awarded the Presidential Unit Citation for actions on her first patrol near the Philippines from May 31 to Aug 3, 1944, under the command of Lt. Cdr. Herman J. Kossler (1911-1988). She was also awarded four Battle Stars for operations in the Pacific. The USS Cavalla is best known as the “**Avenger of Pearl Harbor**” and **earned the prestigious Presidential Unit Citation for sinking the Japanese Aircraft Carrier, Shokaku, a vessel that attacked Pearl Harbor.**

On 21 Jan 1971, the USS Cavalla became a museum ship at Seawolf Park, in Galveston, Texas. In 1971, the U.S. Navy transferred possession of Cavalla to the Texas Submarine Veterans of WWII as a memorial to the lost submarine USS Seawolf. (**Galveston Naval Museum – USS Cavalla, History**)

## **About Us**

At **Cavalla International University of America** you are part of an international community of students and highly distinguished professors. The University welcomes all our students from around the world. Our online community of faculty and students bring together creative, passionate, and intellectually engaged students from all around the globe, with the common goal of obtaining excellent, innovative, and creative education along with high a standard of research skills.

**Cavalla International University** of America is an American online university or an American Accelerated University as it is commonly called. The university uses internet/electronics methods to conduct live classes for its students. Students are also encouraged to study independently with the help of an assigned faculty mentor.

**Cavalla International University** of America offers over 100 degrees and over 20 specialized certification courses from the graduate school, Barclay College of Law, graduate school, and undergraduate studies. The university offers doctoral degrees, Law degrees and undergraduate degrees, including Arts and Sciences, Education, Engineering and Technology, Health and Sciences, Business Administration and Management and many Specialized Certification Courses that will meet the interest and needs of our global students. The university endeavors to hire and recruit highly qualified and reputable local and international professors to guide the students as faculty members and mentors.

The programs are flexible and affordable and take into consideration the busy schedule of students that are working adults. Our global community is open and welcomes all to be part of the wonderful learning experience at Cavalla International University.

## Accreditation

**Cavalla University International of America** is an academic institution registered in the State of Louisiana to conduct legal business and it is approved by the Board of Trustees and the Executive Leadership of the university to grant professional and academic degrees. The University adheres to the educational standards and requirements of the U.S. Department of Education and complies with the rules and regulations of the Louisiana State board of regents (department of education) regarding educational integrity and recruiting requirements for hiring qualified professors with the right academic qualifications to teach.

**Cavalla International University of America** is accredited by CPD, a UK based internationally recognized, respectable, and reputable accrediting body.

**Cavalla International University of America** is accredited by CPD Certification Services in the UK. Continuing Professional Development Certification Services is a well-recognized accreditation System throughout the UK and internationally, which confirms that Cavalla International University learning activities have been Scrutinized to ensure Integrity and quality. Cavalla International University qualifications and degree programs have reached the required industry standard and benchmarks for professional and academic development. The Certification provides the following assurance:

- ✚ **CPD certification** or accreditation means our programs have been independently evaluated for Continuing Professional Development purposes by The CPD Certification Service. This means our courses comply with universally accepted principles of Continual Professional Development (CPD) and have been structured to meet the criteria of personal development plans authorized by the CPD.
- ✚ **CPD certified** training means the learning activity has reached the required CPD standards and benchmarks. The learning value has been thoroughly examined to ensure integrity and quality. The CPD Certification Service provides recognized independent CPD assessment compatible with global CPD standards.
- ✚ **CPD certification** means that the content and structure of the courses have been independently assessed and approved for multi-disciplinary and industry-wide continuing personal, academic and professional development purposes.

The accreditation ensures that Cavalla International combines different methodologies of teaching for professional development, such as e-learning, research, the Socrates method, case study methods, best practice techniques and idea sharing, while actively engaging students' participation during lectures. The goal is to ensure that our students are well-rounded with skills that are marketable and acceptable. The CPD accreditation also ensures that programs taught at Cavalla International University are up to date and not obsolete.

**Cavalla International University of America** is an American Accelerated online research university with focus on providing well-rounded, recognized, respectable and reputable academic and professional education, while meeting the high educational standards and evaluation of the CPD Certification Services of the United Kingdom. Cavalla International University has not sought accreditation with any US based accrediting bodies.

## Core Values

**Cavalla International University** is an American International Accelerated University. Currently, the university offers all its programs online. The faculty at Cavalla International University (CIU) endeavors to provide excellent, affordable, and flexible educational programs to all its students. Cavalla International University was established in 1990 as a correspondence school, specializing in providing high quality professional education to working adults who wanted to pursue a specific area of expertise in Accounting, Business, Finance, Human Resource, Computer training and Marketing. The school continues to provide professional education on a course by course basis until 1998 when the board and faculty approved the college to be a full-fledged degree granting institution. The Doctor of Juris (J.D.) and the undergraduate degrees were subsequently initiated in the same year and the college was reclassified as a university.

The primary goal of the university since then has been to provide excellent professional education to busy working adults who may not be able to attend traditional university due to family commitment , job commitment, high cost of attending college/university and other demands of society that may prevent career minded people from pursuing their academic goals. In 2005 the university was approved to begin granting master's degrees and three years later in 2008 the Board of Trustees approved the university to grant Doctor of Philosophy Degrees. The university does not have residency requirements for students. As an international university, CIU endeavors to recruit qualified and reputable professors from the international community. The university offers professional and academic degrees. Cavalla International University has excellent world class educational programs. The programs are inexpensive in comparison to American Universities with similar programs, it has flexible programs to meet the needs of busy working adults and mothers. The online nature of the University affords students to learn both theory and practice of their specific area of study.

The University has an open enrollment policy. Students can apply anytime during a semester. However, applications received after a semester has begun will be processed and evaluated for the next semester. Students can choose to enroll in one of our accelerated programs. Standard semester is 12 weeks, and the University has two accelerated programs: 6 weeks and 8 weeks. Cavalla International University has excellent world class educational programs. The programs are inexpensive in comparison to American Universities with similar programs, it has flexible programs to meet the needs of busy working adults and mothers. The online nature of the University affords students to learn both theory and practice of their specific area of study.

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**Cavalla  
International  
University**

## **MESSAGE FROM THE PRESIDENT**



**Dr. Horatius Jackie Williams, JD, LLM, PhD  
President and Chancellor  
Cavalla International University**

We would like to welcome you to **Cavalla International University (CIU)** and to congratulate you for your decision to become part of our international community of students and professors. The university values and welcome everyone and takes special interest in helping students achieve their academic goals. The goal of CIU is to provide excellent, flexible, and affordable education to anyone from anywhere in the world. “CIU actually brings high quality American Education at your door, with three accelerated options to help you complete your program a year earlier.”

We provide high quality educational study programs that will benefit our students and help them appreciate their decision to study at our institution. We take pride in the fact that our students graduate with high confidence and possess the necessary skills needed to enhance their expertise and career advancement.

The University has six colleges and a graduate School, including Barclay College of Law, and three accelerated semester options to help our students complete their programs a year earlier and to possibly begin earning income before what would have been their graduation date at another university. We are pleased that you are considering our world class research programs that are also designed to develop professionals with advanced research skills. Please take time to read through our academic programs, while paying attention to your area of interest as well as the course descriptions.

We would like to commend you for your interest to study at Cavalla International University. An education at Cavalla International University will enable you to appreciate the art of studying and help you develop the confidence needed to approach all angles of your professional life. We look forward to formerly welcome you and to introduce you to our international faculties to and to create a program that fits your educational and career needs.

## MISSION STATEMENT OF THE UNIVERSITY

The mission of Cavalla University is to provide high quality and excellent education to its students. The university seeks to prepare students to meet the challenges of today complex and rapidly changing society. Students and faculty at CIU foster a commitment of excellence in studying traditional academic disciplines, as well as innovation in exploring questions that cross disciplinary boundaries. CIU encourages faculty and students to be independent thinkers or less restrictive in their ideas while conducting research. This may involve exploring and investing established academic research areas and contradicting the findings if necessary. The mission of CIU therefore challenges the students to integrate their personal and professional life experiences with the required academic work in their areas of specialization.

## GOALS

The goal of the university is to enable students to develop high level of confidence that will be useful in their professional life and to their employers. At the end of the program students should be able to assimilate their theoretical knowledge with their areas of practice. This will enable students to generate high quality research, understanding of their specialties and to put the learned knowledge to practical use. The university is committed to providing an exchange of knowledge, understanding and scholarly work with their global communities. The university does this by making students and faculty research work available to various communities, individuals, businesses, and organizations that may seek to utilize research the findings. At the end, the ultimate goal of CIU is to produce graduates that are highly qualified and possess the necessary skills which will enable them to be confident and productive to their communities.

## OBJECTIVES

1. To enable students to learn through high level research with the help of faculty mentors.
2. To provide a high level of education to students who may not otherwise have the financial means or flexibility to attend traditional universities.
3. To enable students to become scholars or experts with a broadened approach in their area of specialization that can benefit them professionally.
4. To prepare students to be independent thinkers who have great intellectual, analytical, and critical skills.
5. To produce highly qualified and productive professionals to the global community.

**Cavalla International University of America** is an academic institution registered in the State of Louisiana to conduct legal business and it is approved by the Board of Trustees and the Executive Leadership of the university to grant professional and academic degrees. The University adheres to the educational standards and requirements of the U.S. Department of Education and complies with the rules and regulations of the Louisiana State board of regents (department of education) regarding educational integrity and recruiting requirements for hiring qualified professors with the right academic qualification to teach.





**NOTICE OF NON-DISCRIMINATION AND GOVERNANCE**

**Notice of Non-Discrimination**

- ✚ It is the policy of Cavalla International University not to discriminate in its educational programs, activities, or employment policies on the basis of race, sex, sexual orientation, gender identity, color, creed, age, ethnic or national origin, or non-disqualifying handicap, as required by federal laws and regulations, including Title IX of the 1972 Educational Amendments. Cavalla International University complies with the Family Educational Rights and Privacy Act of 1974, Public Law 93-380 as Amended.

**Governance**

- ✚ Cavalla International University accepts in principle that the governance of the University is a shared responsibility of administration, faculty, and students. Administrators provide executive continuity; faculty and students participate in governance mainly through the constituent assemblies and the work of committees. The latter provides for constructive interactions among administrators, faculty, and students. Organizationally, the Board of Trustees has oversight of the operations of the Corporation. Leadership is headed by the Chancellor, who is responsible for determining the overall strategic direction and priorities for the University. The President is Cavalla International University's chief academic officer. A full description of the organizational structure of the University, including current administrators and a list of Board of Trustees members, can be found at <https://cavallauniversity.education/>





**Cavalla  
International  
University**

## **Organizational Chart**

**Dr. Horatius Jackie Williams**

President and Chancellor

**Dr. B.K. Robertson**

Provost and Vice President of Academic Affairs & Institutional Advancement

**Dr. Valencia T. Johnson**

Acting Vice Provost/Vice President of Academic Affairs & Dean of Graduate Studies

**Mrs. Raquel Williams**, Vice President for Administration and Finance

**Dr. Hamed Massaley**, Vice President for Student Affairs and Enrollment Management

**Dr. Abebayehu Yilma**, Advisor to the President/Chancellor

**Dr. Beatrice Bischof**, Board of Trustees and Advisor to the University

**Mr. Thomas M. Carden**, Board of Trustees and Advisor to the University

**Dr. Clifford Frank**, Board of Trustees and CIU UK Representative/Director

**Mr. S. Mynah C. Karmo**, Country Director – Liberia


**Dr. Morris Koffa**, Board of Trustees and Director of the Environmental Center


**TBD**, Vice President Information Technology and Chief Information Officer


**TBD**, Chief Accreditation, International, Government, and Legislative Affairs Officer

**Marjorie Ramos**, Registrar/Director of Student Enrollment, Records and Registration

**Raisa Padilla**, Director of Admissions and Alumni Association and Engagement

 **TBD**, Office Manager

 **Howa Massaley**, Admissions Advisor

 **TBD**, Administrative Assistant

 **TBD**, Administrative Assistant

**TBD**, Director of Financial Aid and Library Services

**TBD**, Financial Aid Advisor

**TBD**, Grant Researcher and Writer

**TBD**, Research, Community Outreach, and Fundraising Director

**TBD**, Director of Human Resources and Career Services

**TBD**, Director of Institutional Review Board, Commencement, and Student Activities

**Dr. Ikechi Abugba**, Dean of Undergraduate Studies and Director of Agribusiness Studies

**Dr. Ciro Martinez**, Dean, Barclay College of Law

**TBD**, Dean of Arts and Sciences

**TBD**, Dean of Business Management and Administration

**TBD**, Dean of Education and Human Development

**TBD**, Dean of Health Sciences and Technology

**\*TBD – To Be Determined**



## **SECTION I: GENERAL INFORMATION**

### **1. History of Cavalla International University**

Cavalla International University is an American International Accelerated University. Currently, the university offers all its programs online. The faculty at Cavalla International University (CIU) endeavors to provide excellent, affordable, and flexible educational programs to all its students. Cavalla International University was established in 1990 as a correspondence school, specializing in providing high quality professional education to working adults who wanted to pursue a specific area of expertise in Accounting, Business, Finance, Human Resource, Computer training and Marketing. The school continues to provide professional education on a course-by-course basis until 1998 when the board and faculty approved the college to be a full-fledged degree granting institution. The Doctor of Juris (J.D.) and the undergraduate degrees were subsequently initiated in the same year and the college was reclassified as a university.

The primary goal of the university since then has been to provide excellent professional education to busy working adults who may not be able to attend traditional university due to family commitment, job commitment, high cost of attending college/university and other demands of society that may prevent career minded people from pursuing their academic goals. In 2005, the university was approved to begin granting master's degrees and three years later in 2008, the Board of Trustees approved the university to grant Doctor of Philosophy Degrees. The university does not have residency requirements for students. As an international university, CIU endeavors to recruit qualified and reputable professors from the international community. The university offers professional and academic degrees.

Cavalla International University has excellent educational programs. The programs are inexpensive in comparison to American Universities with similar programs. The University has flexible programs to meet the needs of busy working adults and mothers. The online nature of the University affords students to learn both theory and practice of their specific area of study.

The University has an open enrollment policy. Students can apply anytime during a semester. However, applications received after a semester has begun will be processed and evaluated for the next semester. Students can choose to enroll in one of our accelerated programs. Standard semester is 12 weeks, and the University has two accelerated programs: 6 weeks and 8 weeks.

## **CORE VALUES**

### **Integrity**

Adhere and uphold ethical and moral values at all times

### **Leadership**

Serve with humility and respect and motivate the community to be intelligent, culture-sensitive and pro-active in societal transformation

### **Transformative**

Empower learners to see the social world differently through an ethical lens and become effective agents of change.

### **Creativity and Innovation**

Support new ideas by fostering creativity and creating an environment that enhances growth and development

### **Service-Oriented**

Recognize and meet the needs of the students and the academic community

## **VISION STATEMENT**

To be a center of excellence in learner-centered transformative education.

## **MISSION STATEMENT**

To provide excellent teaching-learning experiences that ensure life-long, enduring, globally competent, and transformative education to empower learners and become effective leaders in the society.

## **FACULTY**

### ***1.0 The University Faculty***

The University Faculty is a core of professionals whose basic terms of reference are teaching, research, and services to the University, community, and ones profession to promote the core values of the University. Cavalla International University faculty shall participate in the development of educational programs of the University and shall be active participant in the conduct of the University's academic, research and service programs.

### ***2.0 Faculty Roles and Responsibilities***

1. Teaching load of 12 credit hours per semester
2. Pursue other scholarly activities, including research, publications and various kinds of creative works. Service to the university, the community and in professional organizations is also the responsibility of a faculty member.
3. Maintain office hours at least 10 hours per week and office hours shall be distributed at least four (4) days per week in order to meet the needs of the students in the University. The schedule of the office hours shall be filed with the appropriate department or college.
4. Required to provide academic advisement, assist in all phases of registration, and participate in events in the academic calendar.

### ***3.0 Faculty Appointments and Titles***

#### ***1. Tenure/Tenure-Track Academic Titles***

The only titles in which tenure is granted are Professor, Associate Professor, and Assistant Professor

*Professor* is the highest academic rank. It requires a doctorate degree and at least 10 years of university teaching experience. It is also a position earned by promotion, rising out of the rank of associate professor. Holder of this title must exhibit excellence in teaching, research, scholarship, and service.

*Associate Professor* is the next highest academic rack. It requires a terminal degree, documented evidence of excellence in teaching and research and creative works, with at least 5 years of university teaching. Holder of this academic title must have shown evidence of teaching excellence, scholarship and research, have significant publications in quality and number, and have a record of excellent community service.

*Assistant Professor* requires Master's degree in the relevant professional discipline. Holder of the title must have earned experience in the

professional discipline through university teaching and research or other professional duties. It requires at least 3 years university teaching experience.

2. *Non-Tenure Track Academic Titles*

Other academic titles used at Cavalla International University which tenure cannot be granted are as follows:

- a. *Instructor* requires Master's degree in the relevant professional discipline. Holder must have demonstrated proficiency in the discipline and special appointments through the college, Provost and Vice President for Academic Affairs and the President. The title denotes a probationary appointment. Tenure cannot be granted to an instructor.
- b. *Lecturer* is a Bachelor's degree holder in the relevant professional discipline. Holder is required demonstrated proficiency in the discipline and special appointments through the college, Provost and Vice President for Academic Affairs, and the President. This title requires at least a minimum of two years teaching experience. A lecturer needs to complete his Masters degree within seven (7) years to be a tenure track faculty
- c. *Clinical Faculty* is a faculty with clinical appointment, which includes preceptors, chief laboratory technologist, and medical clinical supervisor. This title requires Bachelor's degree in the relevant professional discipline. It also requires demonstrated proficiency in the discipline and special appointments through the college, the Vice President for Academic Affairs, and the President.
- d. *Adjunct Faculty* is a part time faculty whose employment is terminated at the date stipulated in the letter of contract. This appointment is teaching assignment without research requirements.
- e. *Visiting Faculty/Professors* - these titles are used only for temporary appointments of persons either visiting from other institutions where they hold similar rank or who are brought to the university to mentor faculty or handle special courses. Such appointments are limited to one year.
- f. *Adjoint Faculty* - These titles may be used to designate faculty who serve the University in cooperative or joint programs pursuant to a memorandum of understanding, research and development agreement, or similar partnership instrument. Persons holding these titles will be

employees of and compensated by the partnership organization. They will not be deemed employees of Cavalla International University. They will have, however, the same obligations, responsibilities, and authority as regular faculty employed directly by Cavalla International University. The term of the appointment will be specified in the agreement with the partner organization.

- g. *Teaching Assistant* must be a degree holder who serves as an instructional assistant to faculty in laboratory activities or in the preparation of his/her teaching; promptly meeting every class session, maintaining reliable student attendance record; and coordinating and implementing instruction in an orderly and professional manner; assist that laboratory or instructional materials, or accessories required are ordered and prepared for class sessions; conducting reliable and timely evaluation of student performance; and maintaining a reliable student attendance record system; keeping regular office hours and performing other duties as required.

#### ***4.0 Emeritus Academic Titles***

In recognition of years of valued service and contribution to the University's vision and mission, the title emeritus may be awarded to qualified faculty members who meet the standards of a faculty emeritus.

An honorary title such as Dean Emeritus, Chair Emeritus, Professor Emeritus, Associate Professor Emeritus may be given to a faculty member who is retired or anticipates retiring by the end of the academic year. The conferring of the title is not automatic. It is approved by the President of the university and the Board of Trustees.

##### *1. Qualifications:*

A faculty may be granted emeritus title if they have:

- a. Retired or qualified and about to retire
- b. Rendered distinguished and honorable full-time academic and professional service to the University and made a significant scholarly contribution to their professions;
- c. Adhered to the highest academic, civic, and ethical standards of the University.

##### *2. Process for Granting Emeritus Title:*

- a. A call for Faculty Emeritus nominations is sent to the colleges from the Office of the Provost and Vice President for Academic Affairs by January 16 of each year.

- b. Faculty Emeritus nominations is submitted by the Chair of the Department to the Personnel Review Board.
- c. Nomination packages must include the following:
  - d. Application Letter of the Nominee
  - e. Letter(s) - from the department/area, that support the appointment.
  - f. The Personnel Review Committee will complete the following:
    - g. Review Faculty Emeritus nominations
    - h. Submit recommendations to their Faculty Dean
    - i. The Dean forwards the recommendation for Faculty Emeritus candidates to the Provost and Vice President for Academic Affairs (VPAA)
    - j. The Provost and VPAA reviews the nomination and submits own recommendation, forwards recommendation of the Chair, the Dean, to the President for Approval
    - k. The President reviews the Provost and VPAA's recommendation, approves or disapproves nomination, forwards recommendation to the Board of Trustees for final approval.

3. *Benefits of Faculty with Emeritus Title:*

- a. Use of University e-mail/web access,
- b. Use of University computer, if available,
- c. Access to library facilities and services consistent with employed, tenured faculty,
- d. Use of Cavalla International University ID card,
- e. Listing in University catalogues,
- f. Eligibility to serve as principal investigator (PI) or co-investigator (Co-PI) on research grants or projects including externally funded projects, if permission is given by the dean of the college.
- g. Faculty who receive the emeritus title are encouraged to:
  - Identify oneself as a Cavalla International University emeritus faculty member in any professional activity that pertains to service to the University or use of its resources.
  - Provide faculty-related services to the University, as appropriate, including but not limited to:
    - (1) mentoring junior faculty in teaching and research activities;
    - (2) mentoring faculty
    - (3) serving as a member of student research/project panels

4. *Limitations*

1. There is no compensation that accompanies the title.
2. Emeritus faculty are not considered member of the General



- a. Emeritus faculty is not eligible to serve on any University body by virtue of the emeritus title.

## **5.0 Faculty Recruitment**

### *1. Faculty Recruitment Process and Diversity*

It is the University goal to identify, recruit, and retain highly qualified, talented, and diverse faculty for positions in all academic areas.

- a. The Office of the Provost and Vice President for Academic Affairs is responsible for developing and overseeing the faculty recruitment process.
- b. Deans, Department Chairs, and Search Committees are responsible for ensuring that equal opportunity is afforded to all candidates to further the University's goal of identifying and recruiting diverse, qualified, and talented faculty.
- c. In order to recruit a diverse applicant pool, Office of Human Resources is responsible for actively engaging in efforts that include:
  - o Communicating the availability of positions to a broad and diverse range of qualified candidates.
  - o Developing strategies to attract qualified women and members of underrepresented groups.

### *2. Search Process*

#### *a. Participants in Search Process*

##### (1) Provost and Vice President for Academic Affairs

- a) Provides information to the Colleges of approved faculty positions
- b) Receives recommendation from deans
- c) Reviews the recommendation of deans; if candidate is found fit for the position, finalizes rank, endorses recommendation for the President's approval for hire.

##### (2) Deans

- a) As resources allow and upon the Vice President for Academic Affairs' approval, in collaboration with the Human Resources provide Department Chairs with written authorization to initiate searches.
- b) Review and approve recommendations from the Department Chairs for Search Committee members and the Search Committee Chair.
- c) Approve who serves on a Search Committee.
- d) Receive review of candidates from the Department Chair
- e) Review the files of the candidates, determine ranks, and make recommendation to the Vice-President for Academic Affairs.

(3) Department Chairs

- a) Upon receiving written approval from the Dean, initiate the search process by submitting recommendations of Search Committee members to the Dean.
- b) Appoint the Chair of the Search Committee with approval from the Dean.
- c) Work with the Office of Human Resources to contact potential candidates for a faculty position
- d) In collaboration with the HR Office, the Department Chair will coordinate contact with the identified candidates.
- e) Receive and review the reports submitted by the Search Committee regarding the most qualified candidates.
- f) Forward or communicate recommendations to the Dean and ensure that candidates forwarded to the Dean reflect the University's goal for faculty appointments.
- g) Submit Recruitment/Hiring Package through the Dean to the Provost and VPAA's office.
- h) Retain search files for each faculty search in the department office (2 year retention).
- i) Review identified diversity issues identified by the Dean with the Search Committee

(4) Search Committees

- a) Comprised of a minimum of 3 tenure or tenure track faculty
- b) May include faculty or subject matter experts from other units or divisions if approved by the Dean.
- c) Once approved, each Committee member must attend Faculty Recruitment Training
- d) In collaboration with the HR Office, screens applicants, identify leading candidates, and advises the Department Chair and the Dean concerning candidate qualifications and suitability for the position.
- e) Develops and submits a Short List of Candidates to the Department Chair.
- f) Interviews candidates on Short List.
- g) Submits review of candidates to the Department Chair.

*b. Interviews during Search Process*

- (1) Telephone screening and video conferencing interviews can be used to screen applicants.
- (2) The Search Committee must ask similar questions of each candidate interviewed by telephone or video conferencing.

- (3) Search interviews can only be conducted for candidates who have submitted a completed application that has been reviewed and verified by the Office of the Human Resources.
- (4) The Search Committee conducting screening interviews must have a prepared list of questions asked of all candidates.

*c. Procedures for Developing the Short List of Candidates*

- (1) All Search Committee deliberations are confidential and discussions about applicant qualifications should not occur with individuals who are not members of the Search Committee. The Department Chair is responsible for the level of involvement he/she wants to provide to faculty members not on the Search Committee during the search process.
- (2) Search Committees will use checklists/matrixes to evaluate and make written assessments of candidates' applications.
- (3) Search Committees will develop a short list of the best-qualified applicants and make reports by memorandum for the Dean's approval, through the Department Chair.
- (4) Assessments will be based on job-related criteria without regard to subjective judgments or impressions.
- (5) If approved by the Department Chair, after committee deliberations, the Search Committee may summarize qualifications of candidates included on the short list and provide that information to the general faculty in the department.
- (6) A minimum of two candidates must be included on the final short list submitted to the Dean unless the Dean approves an exception.
- (7) The Committee must list strengths and weaknesses for each candidate on the short list, and include vitas and credential files.
- (8) Candidates should not be ranked.
- (9) The Department Chair will forward the short list to the Dean.
- (10) The Dean is the final approval authority for the short list. He/She reviews the recommendation of the Committee and determines who among the candidates will be brought in for second interview.

*d. Recommending the Final Candidate*

- (1) After all interviews, the Search Committee will meet and discuss the candidates who were interviewed. Included in the Committee's discussion will be feedback from Department faculty.
- (2) The Search Committee will meet with Department Chair to discuss a summary of strengths and weaknesses of the candidates who were interviewed and provided their hiring recommendations.
- (3) The Department Chair may seek additional input through a departmental discussion. After reviewing the Committee's summary and departmental feedback, the Department Chair will provide the Dean with comments on each candidate and hiring recommendations.

(4) Upon consultation with the Dean, Department, and Search Committee Chair, the Provost and VPAA may indicate that none of the candidates is acceptable if, in his/her judgment, the leading candidates do not adequately meet Cavalla International University goal of employing a highly qualified and diverse faculty. If no candidates are acceptable, the Provost and VPAA shall determine whether to extend or close the search.

*e. Search Process Timeline*

The Provost and VPAA ensures that the faculty search process results in the recruitment and employment of highly qualified faculty. In order to facilitate a timely and efficient process that results in hiring the best faculty available in a market, the timeline outlined below must be followed

*f. Recruitment Plan Timeline:*

<b>November</b>	Deans request for faculty positions
<b>December</b>	Provost and VPAA announces available positions
	HR advertises positions
	Deans Form Search Committees, appoint chairs of the Search Committees
	Training of Search Committees
<b>December –January</b>	HR receives and verifies applicants’ credentials, forward applicants to the search committees
<b>February- March</b>	Interview of Candidates by Search Committees
<b>March 30</b>	Dean submits recommendations to the Provost and VPAA
<b>April 15</b>	Provost and VPAA makes recommendation to the President
<b>May 1-15</b>	Offer letter given and signed by the candidate
<b>June- July</b>	Prepare office and housing for new faculty member
<b>August</b>	New Faculty Orientation

## ***6.0 Faculty Appointment to Centers***

### *1. Procedures*

- a. Faculty members who have interest in serving as investigators or advisers may be recommended for appointment to a center.
- b. The director of each center will initiate the recommendation for a faculty member's appointment to a center.
  - 1) Faculty appointed to centers must have appointments in an academic department, but there is no requirement that this be the same department or college where the center is housed.
  - 2) Approval by the faculty member's department chair and dean, the dean of the college in which the center is located, as well as approval by the Provost and VPAA and the President are required for each appointment.
  - 3) Each recommendation must be accompanied with a justification for the appointment that describes the contribution of the faculty member to the center.
  - 4) Appointments to a center are for one fiscal year unless the recommendation is made by the center director for reappointment.
  - 5) Reappointment will depend upon the approval of the department chair, the appropriate dean, the Provost and Vice-President for Academic Affairs and the President.
- c. Appointment to a center does not result in a reduction in faculty workload requirements except when a faculty member's time has been purchased by the center under a grant, contract or from another source of funds.
  - (1) In such cases, a Personnel Action Form must be submitted with the appointment recommendation to reflect the source of funds for the faculty member's salary.
  - (2) Non-salaried appointments to a center are not budgeted item and do not require Personnel Action.
- d. The resources of such centers will be available to all Cavalla International University faculty members without the necessity of a formal appointment to the center.
- e. A department chair cannot simultaneously serve as the director of a center

### *2. Responsibilities:*

- a. Center Director
  - (1) Initiates recommendation of faculty appointment to the center with appropriate title
  - (2) Recommends reappointment past one year
- b. Department Chair
  - (1) Recommends to the dean faculty appointment to the center.

- (2) Review and makes recommendation to the dean faculty appointment to the center past one year.
- c. Deans (in which the faculty is housed and the dean which the center is located)
  - (1) Approve and recommend to the Provost and VPAA faculty appointment to the center.
  - (2) Reapprove and make recommendation to the Provost and VPAA faculty appointment to the center past one year.
- d. Provost and Vice President for Academic Affairs or designee
  - (1) Approves and recommends to the President faculty appointment to the center.
  - (2) Reapproves and recommends to the President faculty appointment to the center past one year.

### ***7.0 Faculty Reappointment, Promotion, and Tenure***

All faculty members are responsible for providing quality teaching, scholarship, and service. In order to be reappointed, a faculty member must demonstrate effectiveness in these four areas: (1) Proficiency, (2) Scholarship, (3) Service to Community, and (4) Professional Development.

### ***8.0 Faculty Ranking***

#### *1. Procedure for Faculty Ranking and Promotion*

- a. Prior to the beginning of the promotion process, each college may establish and announce a maximum number of promotions that will be granted during an academic year based on allocated funding and available rank positions.
- b. The faculty member involved is informed that the committee is considering promotion application and is given an opportunity either to appear before the committee (or group) considering the case, or to submit a statement in writing in support of eligibility for promotion.
- c. All committee members should vote yes or no. A written recommendation is submitted up the line to the vice president for academic affairs. In the case of committees, the vote must be recorded in the recommendation, and the reasons produced by the minority members must be specified.
- d. If neither the College Personnel Committee (or group) nor the chair of the department recommends promotion, the faculty member will not be considered for promotion in the coming year unless a review by the college personnel committee and the dean is requested by the faculty



member.

- e. If a review is requested, the college personnel committee and the chair forward all documents to the dean. The dean examines all documents, including the recommendation of the college committee, and makes a determination concerning promotion.
- f. If the dean's determination is negative and is not in accordance with all previous recommendations, the faculty member may request a further review by the vice president for academic affairs.
- g. The decision is forwarded to the president. The decision of the president is final in such cases.
- h. Copies of the recommendations by committee, department chair, dean and the provost and vice president for academic affairs (VPAA) shall be provided to the faculty member being considered for promotion.
- i. The faculty member will be provided opportunity to correct any faculty misinformation in such recommendations by placing a letter in his or her promotion file at any stage, or up until April 1 to the dean and the Provost and VPAA.

## 2. *Point System and Criteria for Promotion-in-Rank*

The University Personnel Review Committee reviews faculty for promotions. To be eligible, applicants must earn a minimum number of points awarded by the committee. Applicants are awarded points based upon documentation of their accomplishments and achievements. The points must be earned since the last 2 years of Cavalla International University employment (with the current year considered as the 2nd year.)

Criteria for Evaluation of Achievement:

Faculty members applying for promotion-in-rank will be evaluated on performance and accomplishments as described in this document.

Documentation is required for all stated activities:

The following is the formula for the computation of rank:

Formula      S      =      P+Sc+ PD+ C+HD+T

Legend and maximum Values:

		Maximum Value
P	Proficiency	40

Sc	Scholarship	20
C	Community Service	20
PD	Professional Development	10
HD	Highest Degree Completed	5.0
T	Teaching Experience	5.0
	Score	100

Determination of P Value.....40

Student Evaluation	15
Communication Skill	3
Mastery of Subject Matter	3
Instructional Skills	3
Classroom Management	3
Personal Characteristics	3
Advising/Mentoring of Students	5
Use of Innovative Teaching Methods, including use of technology	5
Peer Evaluation based on classroom observation	5
Development of Excellent Course Materials	5
Fair and Timely Evaluation of Students	5

Determination of Sc Value.. .....20

Acceptance of manuscripts by scholarly journals	2
Publication of books and articles	2
Developing presentation at professional conferences	2
Submission and/or funding of grant proposals	4
Serving as editorial board of a professional journal	5
Attainment of a fellow status in a professional organization	5

Determination of PD Value.. .....10

Department-Wide Trainings	1
College-Wide Trainings	2
University-Wide Trainings	2
National Trainings	3
International Trainings	3

Determination of C Value.....20

Service on Departmental Committee	2
Service on College Committees	3
Service on University Committees	3
Other University tasks beyond workload	4
Service on County/City Committee	4
Service on a Professional Organization	4

Determination of HD Values-----5.0

Academic/Educational Qualification:

Bachelor’s Degree (AB, BS)	1.0
Licentiate Degree	1.5
Master’s Degree (MA, MS)	2.0
Graduated; Submitted Compete Copy of Dissertation	5.0

Determination of T Value.....5.0

- a. One (1) point for every year of satisfactory instruction at the Cavalla International University and in other institution provided that the faculty carried a fulltime load.
- b. One-half (1/2) point for each year of high school and elementary teaching experience up to the maximum credit of 5 points.
- c. One (1) point for every year of administrative experience in tertiary level of education.
- d. One-half (1/2) point for each year spent on scholarship, fellowship, research leave, or any other educational leave with pay.

*A faculty must score at least 75 to be considered for a new rank*

3. *The Personnel Review Committee*

- a. Composition of the University Personnel Committee  
The University Personnel Committee shall consist of 50% of the total number of deans, one full time (preferably tenured) faculty from each of the major degree-granting academic colleges in the university, and one representative from the faculty senate. The faculty member shall be elected by his/her College Personnel Committee by September 15. The University Personnel Committee shall elect one of its members as chair.

b. Function

- (1) The University Personnel Committee carefully evaluates the candidate’s qualifications and documented evidence for promotion on a 100 point scale.
- (2) The Committee summarizes its findings, and the chair of the

committee drafts a report to be submitted to the dean up to the line of the Provost and Vice-President for Academic Affairs who makes a decision.

c. Term or Duration of Membership

- (1) A dean or faculty member shall serve on the University Personnel Committee for one academic year and can be reelected but not to serve more than three (3) consecutive academic years.
- (2) A dean or a faculty member who has served in the committee for three academic years is eligible for reelection after an absence of at least one academic year.

d. Voting Power of a Dean

- (1) Deans will have voting role and will serve as resource to the committee regarding the implementation, interpretation, and consistent application of the policy.
- (2) If a dean is candidate for promotion, the provost and vice president for academic affairs will appoint a senior faculty to substitute in her/his position.

e. Maintenance of the Effectiveness of the University Personnel Committee

- (1) The membership, deliberations, and reports of the University Personnel Committee are strictly confidential.
- (2) The chairperson of the committee shall remind its members of the confidential nature of their assignment. This shall be kept in mind in the transaction of all written and oral communications.
- (3) When final recommendations and supporting documents are forwarded, it is the responsibility of the Chairperson of the Committee to destroy all copies and preliminary drafts.

## ***9.0 Faculty Review***

### *Review Materials*

In support of the two-year review, tenure/tenure-track faculty members shall submit a corpus of material arranged in files in the following order:

- a. Contents check sheet (signed by the department chair);
- b. Table of Contents for the materials submitted;
- c. Current copy of the faculty member's curriculum vitae;
- d. A statement with separate sections discussing the faculty member's (1) Teaching philosophy and how they have contributed to the curriculum in their field;
  - (1) Teaching Proficiency
  - (2) Scholarship and research agenda and scholarly productivity to date along with future plans;
  - (3) Service to the department, college, university, as well as the discipline and community-at-large;
  - (4) Professional development
- e. Teaching Proficiency Section.

Faculty should provide copies of Student Evaluation of Teaching, Peer Evaluation of Teaching Proficiency, Evidence of Curriculum Development, Evidence of Use of Innovative Teaching Methods and Use of Technology, Evidence of Development of Excellent Course Wares, copies of syllabi and any other relevant materials used in courses taught over the last 2 years, examinations manuscripts, etc. Departments will provide the faculty member with copies of his or her student survey summary results and class grade distributions and awards, honors, and special recognition in teaching.
- f. Scholarship/ Research/Creative Works Section - Copies of all publications in print or in page proofs, copies of work accepted for publication along with editor's correspondence; copies of work that is in progress toward publication along with relevant editor's correspondence; copies of funded/non-funded grant proposals, copies of book chapters in an unpublished manuscript, copies of conference papers, and awards, honors, and special recognition in creative activities.
- g. Service to Community Section - Copies of any relevant material documenting service activities and awards, honors, and special recognition in service.

- h. Professional Development Section – Copies of any relevant material documenting trainings/ workshops attended to upgrade one’s self in his/her field of discipline.

## ***10.0 Faculty Tenure***

## ***11.0 Faculty Attendance***

Faculty attendance in classes and at other identified University and College events and activities are important to ensure providing quality instructional experiences and the institution’s efficient and effective functioning. Faculty members shall display professionalism by among other behaviors, avoiding excessive and unexcused absences and tardiness in the dereliction of duties.

### ***1. Conduct of Classes***

Faculty members are expected to conduct all scheduled classes.

- a. Classroom attendance of faculty is monitored by the College Dean and/or the Department Chair
- b. Faculty not present after the first 15 minutes of the start of the class is considered absent. Three or more unexplained or unexcused absences in the semester shall result in a written warning to be placed in the faculty file.

### ***2. Absences***

- a. If the faculty member is ill or cannot attend classes, he or she may seek appropriate substitution to meet the class, and immediately notify the Chair of available, or the appropriate academic dean.
- b. The College Dean shall be informed in all cases of absences: whether for one or more days; whether absent from, for example, classes or convocation or official university or college scheduled meetings and events or for purposes of attending seminars and/or conferences or other verifiable professional development activities.

### ***3. University Activities***

- a. Faculty members shall attend major events in the University such as Opening convocation, Faculty Orientation, Faculty Professional Development Programs, Graduation; and College-level events such as College/Department Faculty meetings.
- b. Faculty members shall be present for the period of registration each semester to assist in the advisement of students.

### ***4. Excused and Unexcused Absences***

An *excused absence* is one for which no salary deduction is made; an *unexcused absence* is one for which a salary deduction is made.

The following are considered *excused*:



- a. Illness- all absences appropriately certified as illness is considered under the sick leave policy of the university
- b. Death of an immediate family member may be ground for an excused absence: consistent with the University policy on leaves. Substitute faculty shall be arranged for in collaboration with the Department Chair and/or Dean.
- c. Illness of an emergency nature, in the immediate family may count as an Emergency absence. “Emergency” for this purpose is limited to one class day only and is granted at the discretion of the dean\*
- d. Attendance at conventions, conferences, seminars and other similar professional events duly endorsed by the College dean and upon the approval of the Provost and Vice President for Academic Affairs (VPAA)
- e. Extenuating circumstances such as weather conditions. An excuse in these conditions may be given at the discretion of the Dean if the faculty/instructional staff member communicates via email or telephone during or immediately after an event.

The following are considered *unexcused*:

- a. Absences from classes and events (identified before) without prior notice or informing within 24 hours, to the college dean and/or department chair.
- b. Substituting or “swapping” faculty without the knowledge or approval of the Dean or Department chair. “Swapping” refers to a switch of faculty to provide course coverage beyond one class session based on an exclusive agreement between the faculty members.
- c. Faculty arranging for substitute for instructional class coverage by a non-academic staff from within or across colleges or university divisions or by a non-university person.

## ***12.0 Faculty Annual Performance Appraisal***

1. The purpose of the Annual Performance Appraisal of Faculty is to:
  - a. Provide an annual assessment of performance that allows recognition of the faculty member's achievements
  - b. Identify areas for development in the faculty teaching, scholarship and research
  - c. Identify service activities as appropriate to the faculty member's academic responsibilities and workload, attendance, student advisement, etc.
  - d. Provide for formative support and mentoring
  - e. Provide a basis for salary increments linked to performance
  
2. Responsibility:
  - a. Department Chair
    - 1) Each Chair of the Department provides for the annual performance appraisal of their faculty members.
    - 2) The Chair follows this format:

### **ANNUAL REPORT: FORMAT**

Date:

Name:

Rank:

Date tenured (if applicable):

- 3) Qualifications (attained or in progress):
- 4) Areas (i.e., Teaching, Research and/or Service) of Academic Responsibility:
- 5) Unit Normal Workload:
  - Teaching:
  - Research:
  - Service:
- 6) Alternative Workload and/or Reduced Workload: (per Record of performance in Teaching:
  - the results of student examinations on courses and teaching of the course and instructor for all courses taught by the Faculty member,
  - peer evaluations curriculum
  - development or course design or course ware
- 7) supervision by the faculty member of student research or project research, clinical work, practicum or internship training, or any other supervision of student's work towards any degree program
- 8) teaching award nominations and teaching awards received
- 9) other significant activities relevant to the academic responsibilities
- 10) record of Performance in Research for that year

11) a list of grants, contracts and other sources of funds for the support of the faculty member's research,

12) Record of Performance in Service

13) Record of Performance in Professional development

b. The Dean keeps records for his/her use and for his submission to the Provost and VPAA when the faculty is to be reviewed for reappointment.

### ***13.0 Student Evaluation of Teaching Proficiency***

1. The Office of the Associate Vice President for Academic Affairs will organize and oversee administration of the student evaluations of teaching.

- a. Evaluation is conducted each semester.
- b. Only organized classes with 10 or more students will be surveyed.
- c. Evaluations will be conducted in the second half of the semester.
- d. The Office of Associate Vice President for Academic Affairs will conduct the evaluation.
- e. The Office of Associate Vice President for Academic Affairs will provide summaries of the survey results to each faculty member whose classes are surveyed.
- f. The Office of Associate Vice President for Academic Affairs will provide summaries of the survey results to each Department Chair for the faculty in the department, for use by the Chair, the Dean, the Vice President for Academic Affairs, the President, and appropriate faculty advisory committees.
- g. Survey results will be retained by Office of Associate Vice President for Academic Affairs.
- h. Students enrolled in all organized classes with enrollments of 10 or more will be asked to complete the survey.

2. The following is the evaluation form:

#### **CAVALLA INTERNATIONAL UNIVERSITY**

#### **STUDENT EVALUATION OF FACULTY**

Name of Faculty Member \_\_\_\_\_  
Course Code \_\_\_\_\_  
Course Schedule/Time \_\_\_\_\_

College \_\_\_\_\_  
Course Title \_\_\_\_\_  
Evaluation Period \_\_\_\_\_

EVALUATION CRITERIA	PROFICIENCY LEVEL				
	5	4	3	2	1
<b>A. COMMITMENT to LEARNER-CENTEREDNESS (25%)</b>					
- <i>Refers to the faculty member's deep sense of responsibility to render service for the development of the student's well-being and the advancement of his/her discipline</i>					
1. Recognizes student's strength and weaknesses					
2. Relates to students in ways that promote mutual respect					
3. Integrates learning objectives with students' objectives in a collaborative process					
4. Participates in collaborative efforts to address students' or class problems					
5. Makes himself/herself available for consultation even beyond official time					
6. Shows sensitivity to individual student's needs					
7. Begins and ends the class promptly unless obstructed by highly valid reasons					
8. Assists in coordinating student's needs with legitimate group inside and outside the campus					
9. Provides supplemental resources to facilitate teaching-learning activities					
10. Displays continuous enthusiasm in the acquisition of knowledge and skills					
<b>B. KNOWLEDGE OF THE SUBJECT MATTER (25%)</b>					
- <i>Refers to the scholarship and expertise of the faculty member</i>					
1. Explains the subject matter without completely relying on the prescribed textbook					
2. Explains the lesson by citing examples and situations					
3. Presents the lesson clearly and in an organized manner showing how each topic fit into the course					
4. Explains the subject matter with depth					
5. Relates the subject matter to previous topics and to other related topics					
6. Explains and provides understanding of the requirements of the course (term papers, projects, examinations)					
7. Updates information and relevant development on the subject matter					
8. Raises/ Responds to issues and questions relevant to the topics					
9. Shows confidence in the delivery of lectures and conduct of discussion					
10. Competent in providing opportunities for developing critical and analytical thinking					
<b>C. TEACHING FOR INDEPENDENT LEARNING (25%)</b>					
- <i>Refers to faculty member's ability to organize teaching-learning process to maximize the learning potential of his/her students</i>					
1. Provides opportunities for students to apply concepts learned to demonstrate understanding of the lesson					
2. Creates teaching strategies that allows students to understand the lesson better					
3. Stimulates learning by encouraging students raise problems and present solutions					
4. Provides drills and exercises to develop creativity and critical thinking					
5. Enhances students' self-esteem through proper recognition of their abilities					
6. Motivates students to their best					

7. Accomplishes the objectives of the course through the lesson					
8. Allows students to organize their academic related activities along well- defined objectives and acceptable student-teacher rules					
9. Promotes self-reliance and self-discipline among students					
10. Allow students to make their own decision and be accountable for their performance					
<b>D. MANAGEMENT OF LEARNING (25%)</b>					
- <b>Refers to faculty member's ability to create and manage a conducive learning environment and at the same time guide, monitor, and evaluate student learning</b>					
1. Explains the syllabus, the learning objectives, and the learning outcomes at the beginning of the term					
2. Provides opportunities for extensive participation of students in the teaching-learning process					
3. Assumes roles as facilitator, coach, inquisitor, integrator, and referee in drawing or encouraging students to acquire knowledge and understanding of the concepts					
4. Monitors students learning regularly with appropriate methods of assessment					
5. Designs and implements learning conditions and experiences of ideas that promote healthy exchange of ideas and/or confrontation					
6. Maintains an atmosphere conducive to learning					
7. Summarizes major points in lessons and discussions					
8. Uses varied teaching methods to enhance attainment of collective learning objectives					
9. Adopts other teaching methods to enhance attainment of collective learning objectives					
10. Stimulates students desire and interest to learn more about the subject matter					
TOTAL					

*Level*

*Proficiency*

*5 – Outstanding*

*4 – Very Satisfactory*

*3 – Satisfactory*

*2 – Unsatisfactory*

*1 – Needs Improvement*

**14. 0 Peer Evaluation of Teaching**

*1. Peer Observer*

- a. Meets with faculty member prior to classroom observation to discuss syllabi and other teaching materials.
- b. Provides reasonable flexibility in determining a mutually agreed upon date for observation and any follow-up meetings.
- c. Observes Faculty Member in the classroom.
- d. Provides Peer Observer report to both Department Chair and Faculty Member following peer observation.

## 2. *Department Chair*

- a. Notifies to-be-observed Faculty Member of upcoming observation and directs Faculty Member to the Evaluation Guidelines.
- b. Assists Faculty Member in identifying possible Peer Observers and makes the final selection of Peer Observer(s).
- c. Files Faculty Member and Peer Observer reports within department files.
- d. Provides Peer Observation Report to the dean and the Provost and VPAA.

## 3. *General Provisions*

### Purpose of Peer Observation

- a. Ensure that courses cover material at an appropriate level.
- b. Foster a culture of teaching excellence through collegial feedback.
- c. Foster professionalism in teaching.

## 4. *Peer Observation Frequency*

- (1) All faculty must be observed at least once a year.
- (2) The peer observation process should take place during a long semester, unless otherwise approved by the Department Chair and Dean.
- (3) The following timeline is recommended, but Department Guidelines can specify alternative timelines.

- (1) At least two weeks after the first day of classes, the Department Chair:

- Notifies Faculty Member of upcoming peer observation process,
- Discusses process of selection of Peer Observer(s) with the Faculty Member.
- Selection of Peer Observer

- (2) By the end of the second week of classes, the Faculty Member should contact possible Peer Observer(s) and submit the name(s) of those who agree to serve as Peer Observer(s) to the Department Chair. In the event that the Department Chair is to be observed, the Dean shall approve, deny, or suggest alternate Peer Observer(s)
- (3) The Department must approve, deny, or suggest alternate possible Peer Observer(s) by the end of the third week of classes.

- (4) Preliminary Meeting - The Faculty Member and Peer Observer shall meet prior to the end of the fifth week of classes to review course syllabi and other materials.
- (5) Department Guidelines- The Faculty Member and Peer Observer shall establish date(s) for the peer observation(s) and, when required by Department Guidelines, a date for their post-observation meeting.
- (6) Classroom Observation(s)
  - a) In no cases should a classroom observation occur without prior notification to the Faculty Member.
  - b) Classroom observation(s) should be concluded no later than the 10<sup>th</sup> week of classes, unless otherwise approved by the Department Chair.
- (7) Peer Observer Report
  - a) The Peer Observer should provide feedback to the Faculty Member within one week of the classroom observation or within one week of the final observation if Department Guidelines specify that multiple observations should take place
  - b) The Peer Observer should provide a written report to the Department Chair within one week of the classroom observation or within one week of the final observation if Department Guidelines specify that multiple observations should take place.
  - c) The Peer Observer report should reinforce strengths in the Faculty Member's performance and should provide any recommendations for improvement. The same report can be presented to the Faculty Member's and Department Chair if specified in Department Guidelines.
- (8) Faculty Member Report
  - a) No later than the last day of the semester, the Faculty Member shall provide a report to the Department Chair.
  - b) Faculty Member Report shall include the following:
    - Name and signature of Faculty Member,
    - Name and course number of observed class(s),
    - Name of Peer Observer(s),
    - Date of observation(s),
    - Date of post-observation meeting, and

- A narrative written by the Faculty Member describing what the Faculty Member has learned from the peer observation process and any plans for improvement or development.

5. Peer Evaluation/Observation Form:

**CAVALLA INTERNATIONAL UNIVERSITY**

**FACULTY CLASSROOM EVALUATION AND OBSERVATION**

Name of Faculty Member \_\_\_\_\_ College \_\_\_\_\_  
 Course Code \_\_\_\_\_ Name of Evaluator \_\_\_\_\_  
 Course Schedule/Time \_\_\_\_\_ Evaluation Period \_\_\_\_\_

**Proficiency Levels**

5 = Exceeds requirements most of the time  
 4 = Exceeds requirements many times  
 3 = Meets requirements most of the time  
 2 = Meets minimum requirements sometimes  
 1 = Does not meet requirements  
 NA = not applicable

**Implied Training Needs**

5 = May serve as model or coach  
 4 = Requires updates only  
 3 = Ready for advanced training  
 2 = Requires basic training  
 1 = Training nor recommended  
 Note: Not all problems can be solved by training

EVALUATION CRITERIA	PROFICIENCY LEVELS						COMMENTS
	5	4	3	2	1	NA	
<b><i>I. Communication Skills</i></b>							
A. Voice Projection (distance reached)							
B. Voice Modulation (voice quality)							
C. Diction/Pronunciation							
D. Grammar and Syntax							
E. Understandability							
F. Penmanship Legibility							
G. Board Management							
H. Use of Visual Aids and Other Teaching Aids							
I. Eye Contact and Rapport							
<b><i>II. Work Organization</i></b>							
A. Preparedness							
B. Ability to present subject matter clearly							
C. Ability to present subject matter systematically							
D. Pacing/ Courseware follow through							
E. Teaching Methods and Techniques							
F. Effective use of books and other education-related materials							
<b><i>III. Professionalism</i></b>							
A. Physical Appearance							
B. Behavior							
C. Ability to command respect from students and colleagues							
D. Ability to discipline students							
<b><i>IV. Teaching Effectiveness</i></b>							
A. Skill in generating student participation in class							



B. Skill in stimulating students' thinking-learning process							
C. Skill in motivating and guiding students to study well							
D. Capacity to relate subject matter to real life situations							
<b><i>V. Technical Competence</i></b>							
A. Technical Competence							
TOTAL							

I hereby certify that I have assessed the above faculty member to the best of my ability and with full objectivity

\_\_\_\_\_  
 Evaluator's Signature over Printed Name  
 Date \_\_\_\_\_

Remarks: \_\_\_\_\_  
 \_\_\_\_\_

Shown and Discussed with me:  
 \_\_\_\_\_

\_\_\_\_\_  
 Instructor's Signature over Printed Name  
 Date \_\_\_\_\_

Instructor's Comments:  
 \_\_\_\_\_  
 \_\_\_\_\_

### ***15.0 Faculty Workload***

1. Full-time Faculty members at Cavalla International University are obligated to a teaching load of 12 credit hours per semester and 24 credit hours for the year.
2. Should a faculty not carry a full teaching load, the Provost and VPAA, the Dean of the College, and the Department Chair, in collaboration with the faculty members shall agree upon the scope of activities for the particular semester or academic year.
3. The projected faculty load for the following semester must be given to the faculty and submitted to the Office of the Provost and VPAA prior the semestral break or end of the semester

### ***16.0 Faculty Overload***

1. Full-time Faculty
  - a. Fulltime faculty members at Cavalla International University may carry an overload of not more 2 courses or 6 credit hours per semester.
  - b. Fulltime faculty members who carry overload need to file a special contract with the office of the Provost and Vice President for Academic Affairs
  - c. Where there is a need to go beyond 2 courses or 6 credit hours for lack of faculty in the field of specialization, the Dean of the College shall write justification to seek approval from the Provost/Vice President for Academic Affairs, provided the overload is not more than 9 credit hours.
2. Adjunct Faculty (not regularly employed at Cavalla International University)
  - a. This adjunct faculty is not regularly employed at Cavalla International University. He/she may carry a load of 3 courses or 9 credit hours per semester.
  - b. This adjunct faculty is required to sign a contract with the University for the duration of the semester. Contract is available at Office of the Academic Affairs.
3. Adjunct Faculty with regular job at Cavalla International University
  - a. This adjunct faculty who has a regular job at Cavalla International University may carry a load not more than 6 credits hours per semester.
  - b. Load will not be assigned to this adjunct faculty unless a written permission from his/her supervisor is presented to the college and the office of the academic affairs.
  - c. This adjunct faculty should only teach after office hours.
  - d. This adjunct faculty is required to sign a contract with the University for the duration of the semester. Contract is available at Office of the Academic Affairs
4. Summary of Overload of Faculty in each college should be submitted by the dean of the college on the following schedule:
  - a. 1<sup>st</sup> Semester – 2<sup>nd</sup> Monday of January
  - b. 2<sup>nd</sup> Semester – 2<sup>nd</sup> Monday of March
  - c. 3<sup>rd</sup> Semester – 2<sup>nd</sup> Monday of May
  - d. 4<sup>th</sup> Semester – 2<sup>nd</sup> Monday of July

- e. 5<sup>th</sup> Semester – 2<sup>nd</sup> Monday of September
  - f. 6<sup>th</sup> Semester – 2<sup>nd</sup> Monday of November
  - g.
5. Contracts of Overload shall be accomplished 1<sup>st</sup> week of classes

***17.0 Contract of Faculty for Overload***

I \_\_\_\_\_ is willing to teach the following courses as overload for this semester commencing \_\_\_\_\_.

Course	Course Title	Schedule of Class	No. of Credit

I agree to adhere to the class schedule for the course and understand that I shall be compensated \_\_\_\_\_ per course.

This overload contract binds me to the University to the terms herein and agreed upon.

Conforme:

\_\_\_\_\_  
Name and Signature of the Faculty

Recommended by:

\_\_\_\_\_  
Chair/Dean  
College of \_\_\_\_\_

Approved:

\_\_\_\_\_  
Provost and Vice-President for Academic Affairs

***18.0 Adjunct Faculty***

1. Adjunct Contract must be signed first week of classes:
2. Request for Adjunct faculty must be made to the office of the Provost and VPAA before the end of the current semester:

## Adjunct Faculty Employment Contract

This employment contract is entered in to between \_\_\_\_\_ (herein referred to as Adjunct Faculty) and Cavalla International University of America (herein referred to as the University) for the Adjunct Faculty to provide instructional services at the University, for a period of one semester commencing on \_\_\_\_\_.

In fulfillment of this agreement, the adjunct faculty shall teach the following course, and conduct other instructional activities as required.

Course Title	No. of Credit
TOTAL	

This adjunct faculty also agrees to adhere to the stipulated class schedule for the course, and maintains consultation time with students. For these services, the University shall compensate the faculty the amount of \_\_\_\_\_ payable at the end of the course.

This contract binds the University and the Faculty to the terms therein and agreed upon. This contract is NOT renewable. Separate contract is required per semester.

\_\_\_\_\_

Name of Faculty and Signature

Date \_\_\_\_\_

Dean, Graduate School

Provost and Vice-President for Academic Affairs

President

### ***19.0 Termination/Non-reappointment of Faculty***

1. A full-time academic employee may be terminated due to just cause. “Just Cause” for disciplinary purposes is substantiated charges that are directly and substantially related to the ability, fitness and suitability of the affected employee to perform his or her professional responsibilities. Proof must be presented to substantiate any allegations

Allegations include the following: Failure to perform professional responsibilities, conviction for a criminal offense that compromises the employee and his or her performance of the responsibilities, fraud or misrepresentation of professional preparation, abandonment of work, and the requisite activities.

There shall be ‘due process’ in the arbitration of any such charges and before final judgment. ‘Due process includes informing the affected member in a timely manner, per review and evaluation, and administrative discretion and direction, including the facilitation of the process, even if the accused chooses to be represented by a lawyer

2. A non-tenured faculty member may not be reappointed to his/her position due to cause. No reappointment may occur when a non-tenure faculty does not meet the requirements for reappointment or tenure in the stipulated time-table, or when documented evidence shows that the faculty member failed to meet the professional requirements of the position. .

### ***20.0 Election of Chairs***

1. Qualifications:

A nominee for chair in a department must have the following qualifications:

- a. Must have at least the Academic Rank of Associate Professor
  - b. Must be a Tenured Faculty or Tenure Track and have been Re-appointed for 2 years (Faculty with One (1) Year Reappointment cannot be nominated).
2. Duration:

The term of chairperson will be two calendar years. At the end of each completed term, the office of the chair shall be considered vacant.
  3. No elected chair shall serve more than two (2) consecutive terms

### ***23.0 Academic Dishonesty***

1. **Academic Integrity**

The quality of education at the Cavalla International University is reflected in the credits and degrees its students earn. The protection of these high standards is crucial since the validity and equity of the institution’s grades and degrees depend upon it. The penalty for any students

found guilty of infraction on a regulation for academic integrity shall range from warning, course failure, possible suspension, or both; and or expulsion, unless evidence is provided to convince an appeal committee that substantial mitigating circumstances existed in that student's offense.

The following regulations are designed to assist students in developing appropriate standards and attitudes with respect to academic integrity.

- *Plagiarism and Cheating*  
No student shall receive, attempt to receive, knowingly give or attempt to give unauthorized assistance in the preparation of any work required to be submitted for credit as part of a course (including examination, laboratory reports, essays, themes, term papers, etc.). When direct quotations are used, they should be indicated; when the language, ideas, theories, data, figures, graphs, programs, electronic based information or illustrations of someone other than the students are incorporated into a paper or used in projects, they should be duly acknowledged.
- *Unauthorized Access to Official Materials*  
No student shall take or attempt to take, steal, or in an unauthorized manner otherwise procure, gain access to, alter or destroy material pertaining to the conduct of a class (including tests, examinations, grade change forms, grade rolls, roll books, laboratory equipment, grade records in written or computerized form, etc. ).
- *Misrepresentation, Falsification of Institution Records or Academic Work*  
No students shall knowingly provide false information in completing school forms or applications, grade sheets, financial forms, time sheets, use false or counterfeit transcripts, etc.) or in any work submitted for credit as part of a course.
- *Malicious Removal, Retention, or Destruction of Library Materials*  
No students shall misplace, take, or destroy, or attempt to misplace, take, or destroy any item or part of an item belonging to or in protection of the university library with the intention of bringing about undue disadvantage in the classroom work or other Cavalla International University students.
- *Malicious Intentional Misuse of Computer Facilities, Laboratory Equipment and/or Other Services*  
The malicious or intentional misuse of computer facilities, laboratory equipment and services is prohibited. Violations of International and local laws (including copyright violations, unauthorized access to systems, alteration/damage/destruction/ or attempted alteration/damage/destruction, or use for profit, etc.) or department's rule for computer usage (including damage or destruction of system and or its performance, unauthorized copying of electronic information, use of threatening or obscene language, etc.) are prohibited/

- *Misuse of Student Identification Cards*  
Student Identification Card is the property of Cavalla International University. Each student is required to carry and or display his or her current identification card issued by the University while on University campus. Lending, selling, refusing to display upon request by an authorized University personnel, or otherwise transferring a student identification card is prohibited, as in the use of an identification card by anyone other than its original holder. A teaching faculty member may ask students to present their ID Cards during tests or examinations.
- *Circulation of Scandalous Leaflets or Other Publications*  
Circulation of leaflets or other publications on the University Campus in which scandalous and defamatory attack are made against University Administration, other University Employees, other students, Government Officials is strictly prohibited.

## 2. **Academic Grievance Procedures**

- a. A faculty or a staff member who has substantial evidence to show that a student has engaged in academic misconduct should first talk to the student about the conduct in question in the presence of a neutral third party.
- b. If the student freely, without coercion, admits to the misconduct, the faculty member has the prerogative of determining appropriate sanctions within the academic framework of the class (i.e. lowering the student's grade, assigning additional academic work, etc.).
- c. The faculty member and the student must both complete and sign a statement of academic misconduct and send to the Office of the Provost and Vice President for Academic Affairs.
- d. If the student denied the misconduct, or requests a hearing to determine the appropriate sanctions, or if the faculty member wish to seek suspension or expulsion as a sanction for allege misconduct, the faculty member should forward an incident report with documented evidence within one week to the Provost and Vice President for Academic Affairs. In this case, no punitive action, including grade assignments, may be made against the student until the committee hearing is complete.
- e. Upon receipt of an incident report, the Provost and Vice President for Academic Affairs shall within seven (7) days, appoint a hearing committee in an attempt to resolve the matter. If necessary, the student should be assigned a grade of "incomplete" until the process is completed. The committee will determine suspension or expulsion for academic misconduct.

## ***24.0 Administering Midterm and Final Examinations***

### *Test Schedule*

The schedule of mid-term and final examination periods are determined by the academic council and is reflected in the academic calendar. A faculty member shall observe the schedule strictly. Off-schedule examinations shall not be given without the approval of the Provost and Vice-President for Academic Affairs.

### *Test Preparation*

1. The following guidelines are helpful in preparing effective evaluation instruments:
  - Test Objectives shall be clear.
  - Test questions shall reflect what was taught; for this purpose, a table of specifications shall be prepared stating the distribution of test questions per topic covered within the time limits of the test.
  - Types of questions shall depend on what is being measured.
  - Test instructions shall be clear and definite.
2. To ensure on the quality of the examinations, no midterm or final examination is reproduced unless it is reviewed by the department chair and duly approved by the Dean of the College.

### *Safeguard of Questionnaires*

To eliminate possibility of questionnaire leakage, faculty shall:

1. Personally supervise the reproduction and sorting out of the questionnaires;
2. Immediately obtain the original copy from the copy room after reproduction; and
3. Prepare different sets of test for identical subjects scheduled at different periods.

### *Department Examinations*

1. Departmental examination are giving during mid-term and final examinations in courses where there is more than one section.
2. In order to take the examination, a student shall be required to submit his permit duly authenticated by the Business Section/Finance to be countersigned by the examination proctors.

### *Test Administration*

1. A faculty member shall supervise all his/her examination.
2. Proctors are assigned by the Deans to administer examinations where there are more than one section.



3. The following reminders for test administration can contribute to the reliability and validity of the evaluation instrument:

- (1) Anticipate potential sources of confusion; clarify instructions, time limits, and scoring of test items.
- (2) Consider the physical condition of the room; set seating arrangement such that temptation to cheat is avoided.
- (3) Remind students on sanctions imposed on those caught cheating or attempting to cheat.

#### *Completion Examination*

A special examination is given to a student who misses a final examination provided, that such is given within one year from the date it was missed and upon presentation of a duly accomplished application form.

#### **25.0 Qualifying Examination**

Students who have completed the 52 credit hours in General Education are required to take the qualifying exam to determine the learning outcomes they have achieved.

#### **1. Learning Outcomes that need to be assessed:**

The following are the learning outcomes that need to be assessed:

##### *Learning Outcomes:*

##### *Basic Communication, Writing and Oral Presentation*

Ability to:

- produce coherent texts within common college-level written form
- demonstrate the ability to revise and improve such texts
- research a topic, develop an argument, and organize supporting details
- develop proficiency in oral discourse; and evaluate an oral presentation according to established criteria

##### *Mathematics*

Ability to:

- demonstrate the ability to interpret and draw inferences from mathematical models such as formulae, graphs, tables, and schematics;
- demonstrate ability to represent mathematical information symbolically, visually, numerically, and verbally;
- employ quantitative methods such as arithmetic, algebra, geometry, or statistics to solve problems;
- make estimate and check mathematical results for reasonableness; and

- demonstrate ability to recognize the limits of mathematical and statistical methods

### *Natural Sciences*

Ability to:

- demonstrate ability to understand the methods that scientists use to explore natural phenomena, including observation, hypothesis development, measurement and data collection, experimentation, evaluation of evidence, and employment of mathematical analysis; and application of scientific data, concepts, and models in one of the natural sciences.

### *Social Sciences*

Ability to:

- demonstrate understanding of the methods social scientists use to explore social phenomena, including observation, hypothesis development, measurement and data collection, experimentation, evaluation of evidence, and employment of mathematical and interpretive analysis; and knowledge of major concepts, models and issues of at least one discipline in the social sciences;
- demonstrate knowledge of the history, political, economic, social, and cultural diversity and unity in Liberian society;
- demonstrate knowledge of common institutions in the society and their effect to different groups.
- relate the development of Western civilization to that of other regions of the world.

### *Information Management*

Ability to:

- perform the basic operations of personal computer use;
- understand and use basic research techniques; and
- locate, evaluate, and synthesize information from a variety of sources.

### *Foreign/Indigenous Language*

Ability to:

- demonstrate basic proficiency in the understanding and use of a foreign language; and
- demonstrate knowledge of the distinctive features of culture
- associated with the language they are studying.

### *Humanities*

Ability to:

- demonstrate knowledge of the conventions and methods of at least one of the humanities in addition to those encompassed by other knowledge areas required by the General Education program.

### *Arts*

Ability to:

- demonstrate understanding of at least one principal form of artistic expression and the creative process inherent therein.

### *Critical Thinking*

Ability to:

- demonstrate ability to identify, analyze, and evaluate arguments as they occur in their own or others' work; and
- develop well-reasoned arguments.

### *Environmental Education*

Ability to:

- demonstrate strong awareness of environmental issues, and
- demonstrate ability to protect the environment

### *Physical Fitness*

Ability to:

- demonstrate knowledge and understanding, activity skills, and desirable attitudes that will eventually contribute to well-being.

## **26.0 Comprehensive Assessment of Students Program Performance**

Students who graduating are required to pass the comprehensive assessment prepared and designed by their own college. The objective of the comprehensive assessment is to evaluate the students' overall learning outcomes outlined in their program.

### **1. Guide in the Preparation/Designing Comprehensive Examination**

#### a. Task Development

- What are your learning outcomes/objectives?
- What are your expected outcomes?
- How does it fit with your core learning objectives?
- What is a: Poor standard?
- Acceptable standard?
- Good standard?
- Excellent standard?

#### b. Assessment Mode

- Determine if you are going to provide the students with the rubric prior to task completion.
- When are you using it?
- When are you planning to use this learning tool with the students?
- Are you going to use it once or several times?

- Is the rubric going to be available for the students to use throughout the whole development process?
  - Develop a plan
  - Identify milestones
  - Determine if the sequence of milestones, the development plan, and the information components are appropriate.
  - The tasks in collaborative projects are designated.
  - Workloads for individuals are identified
  - Who is assessing? (Department? College?)
- c. Design your Rubrics
- Design rubric to assess the skills, knowledge, and understanding the students have gained. The tool/method should be able to evaluate work or performance as a whole
  - Write performance descriptors for each of the criteria
  - Design should be able to show whether students have met a targeted level or standard

## **2. Schedule of Administering Comprehensive Assessment**

See Academic Calendar

### ***27.0 Evaluating Students for Internship***

#### **1. Documents Needed**

Documentation of the following must be submitted by the Department to the Office of the College Dean and to the Office of the Provost and Vice President for Academic Affairs

- Verification that all prerequisites have been met the semester prior to the internship;
- Verification that all required courses have been successfully passed;
- Written recommendation from the Dean of the College;
- Verification that the institution where the student intend to do his/her internship is accredited or recognized by Cavalla International University;
- Verification that the partner institution and student understood the rubrics to evaluate the performance of the intern.
- Signed Institution Internship Agreement form
- Verification that a mentor teacher, who has taught a minimum of three years in the area of the intern's certification, will be assigned by the Chair/Dean to assist the intern;

- Signed Mentor Teacher Agreement Form
  - Attach a copy of the signed Internship Agreement form
2. See Guidelines
  3. Assigning Mentors /Supervisors
  4. Duration of Internship
  5. Fees and Expenses
  6. Evaluation of Interns
  7. Reporting

## ***28.0 Evaluating Graduating Student***

### *Meeting Credit Hour Requirements*

1. A candidate must have completed all upper level course work from Cavalla International University. Exceptions to the policy for completing such at Cavalla International University must be approved by the Dean and the Provost and VPAA.
2. Some disciplines require more than the minimum requirements of credit hours. Refer to the department listings for specific requirements.
3. Credit hours indicate the number of semester credit hours earned in the course. Such credit hours may or may not be applicable to the degree.

### *Count of Course Credits*

1. A candidate must have earned her/his course credits at the University or other institutions not more than five years prior to admission, readmission, or transfer to a degree-granting program.
2. A candidate who earned credits more than five years prior to admission shall only be counted for graduation only with the consent of the academic affairs.

### *Meeting standards for successful performance on the Qualifying and Comprehensive Exam*

1. The candidate must have met the learning outcomes in critical thinking, written communication, quantitative literacy and problem solving. This is shown from the result of the qualifying examination conducted after completion of the General Education Courses.
2. The candidate must have shown evidence of skills and knowledge as shown from the result of the comprehensive examination conducted by the college to assess his performance outcomes.

### *Meeting Grade Point Average*

1. A candidate for graduation is required to have at least a “C” average grade for most major courses.

2. A candidate may not be considered to be graduating if she or he does not have an unresolved grade (INC) as no grade change should be acceptable after he/she has graduated.

#### *Degree with Major or Concentration*

1. A student may graduate with major or concentration by meeting the following requirements:
  - a. One major/concentration must be declared as the primary major/concentration; and
  - b. The primary major or concentration must be designated on the application for graduation
2. Successful completion of a major/concentration is designated on the University Transcript of Records (TOR) upon receipt of the Degree.

#### *Determining Distinctions Honors*

1. A candidate who has done an outstanding work may graduate with academic distinction upon completion of the academic requirements. To qualify for an academic distinction, a student must have completed at least 70 credit hours of letter grade coursework at Cavalla International University;
2. A candidate must meet the cumulated grade point requirements describe below:
  - a. Cum Laude 3.2 – 3.499
  - b. Magna Cum Laude 3.5- 3.749
  - c. Summa Cum Laude 3.8 or higher
3. The graduation honor of Presidential Honors will be based on having completed all course work at Cavalla International University with an overall GPA of 4.0.
4. Computation of Graduation with Honors and Distinction will be based on:
  - a. The grade A+ through F
  - b. NC, INC are calculated
  - c. Administrative grades of W are excluded
5. Eligibility will be calculated when all grades have been processed by the Office of the Registrar;
6. In accordance with Cavalla International University policy on repeating a course for grade replacement, for purposes of calculating graduation with academic distinction, honor points for all attempts of a course will be averaged.

#### *Clearing University Encumbrances*

- A student must have been cleared from all financial and administrative obligations to the University

#### *Applying for Graduation*

- A student must file an application for graduation at the Office of the Registrar during the semester prior to the semester in which he plans to complete the degree requirements for graduation (See University Academic Calendar for exact application due date).

### *Process towards Recommendation and Verification for Graduation*

- By mid semester when the student is completing the final courses to meet the degree requirement, the Registrar submits to the college documentation of student's GPA and other academic standing providing evidence of meeting graduation requirements;
- The Department Chair or the College Committee on Graduation comprising faculty members, reviews and verifies the students candidate information and submits recommendation to the Dean of the College who then submits the list of recommended candidates to the Provost and Vice President of Academic Affairs (VPAA);
- The Provost and VPAA forwards and endorses the list and relevant information of recommended candidates to the President of the University;
- The President forwards the names of the candidates for the approval of the Board of Trustees of the University.

### **3.0 Academic Program Proposals**

#### **1. Criteria for Evaluation of New Programs**

All new programs will be evaluated by the following criteria:

##### *Program Description:*

- The level of the program is specified, as well as any tracks/specializations, concentrations.
- For baccalaureate degree programs, the total number of credit hours does not exceed 136 for a 4 year program, 173 for a 5-year program, 39 for Masters Program and 66 for Doctoral/Doctorate programs
- The academic rationale for the program is well-articulated and provides evidence of building upon areas of institutional strength.

##### *Learning Objectives:*

- Must be clearly articulated and include cognitive, affective objectives
- Must identify the knowledge, skills, and dispositions the students must gain through the program

##### *Learning Outcomes*

- Must identify what the students should be able to do as a result of this program.

##### *Assessment of Need (by public), Demand (by students), Institutional Priority:*

- The proposal builds on core academic strengths of Cavalla International University and it is sufficiently innovative and relevant to the needs of the country.

- The proposed program relates to specific institutional strengths (such as programs of emphasis, other academic programs and/or institutes and centers) or priorities articulated in the Strategic Work Plan.
- If there have been program reviews or accreditation activities in the discipline pertinent to the proposed program, or in related disciplines, the proposal provides evidence that progress has been made in addressing the recommendations from those reviews.
- A plan for excellence is included, including comparisons where appropriate to national peer programs.

#### *Planning Process and Timetable*

- There is evidence that planning for the proposed program has been a collaborative process involving academic units, relevant administrators, and appropriate constituencies.
- The proposal provides a reasonable timetable of events leading to the implementation of the proposed program.
- There is an indication that accreditation is appropriate for the proposed program and an appropriate timetable for seeking accreditation is provided or a rationale for not seeking accreditation is provided.

#### *Curriculum and Articulation*

- The proposal illustrates an appropriate, sequenced, and well-described course of study.
- Learning outcomes are well articulated and are reasonable for the level of the proposed degree.
- Specialized accreditation or state certification/licensure requirements have been addressed.
- Based on estimated enrollment, the proposal provides evidence that there is a critical mass of faculty available to initiate the program;
- There is a commitment, if appropriate, to hire additional faculty in later years.
- The proposal provides evidence that library resources are sufficient to initiate the program
- The proposal provides evidence that classroom, teaching laboratory, research laboratory, office, and any other type of space that is necessary for the proposed program is sufficient to initiate the program.
- The proposal provides evidence that necessary and sufficient equipment to initiate the program is available.
- The proposal provides evidence that, if appropriate, clinical and internship sites have been arranged.
- The proposal provides a complete and reasonable budget for the program that is supported in the text of the proposal.
- The proposal provides evidence that the academic unit(s) associated with this new degree have been productive in teaching, research, and service.



## 2. The University Curriculum Committee (UCC)

The Curriculum committee is a standing committee of the University that is tasked to review courses and curricular programs to ensure excellence and relevance to the needs of the Liberian society and in parallel with the mission and goals of the University. It reviews and makes recommendations on proposals for adding, expanding, or modifying programs and courses offered by the University. It reviews and makes recommendations for approval for new and revised majors, minors, electives, sequences, and any courses that are required within the programs. It recommends policy related to academic offerings. All such proposals and recommendations are submitted to the Provost and Vice President of Academic Affairs for planning and development.

### *Membership:*

The University Curriculum Committee consists of the following:

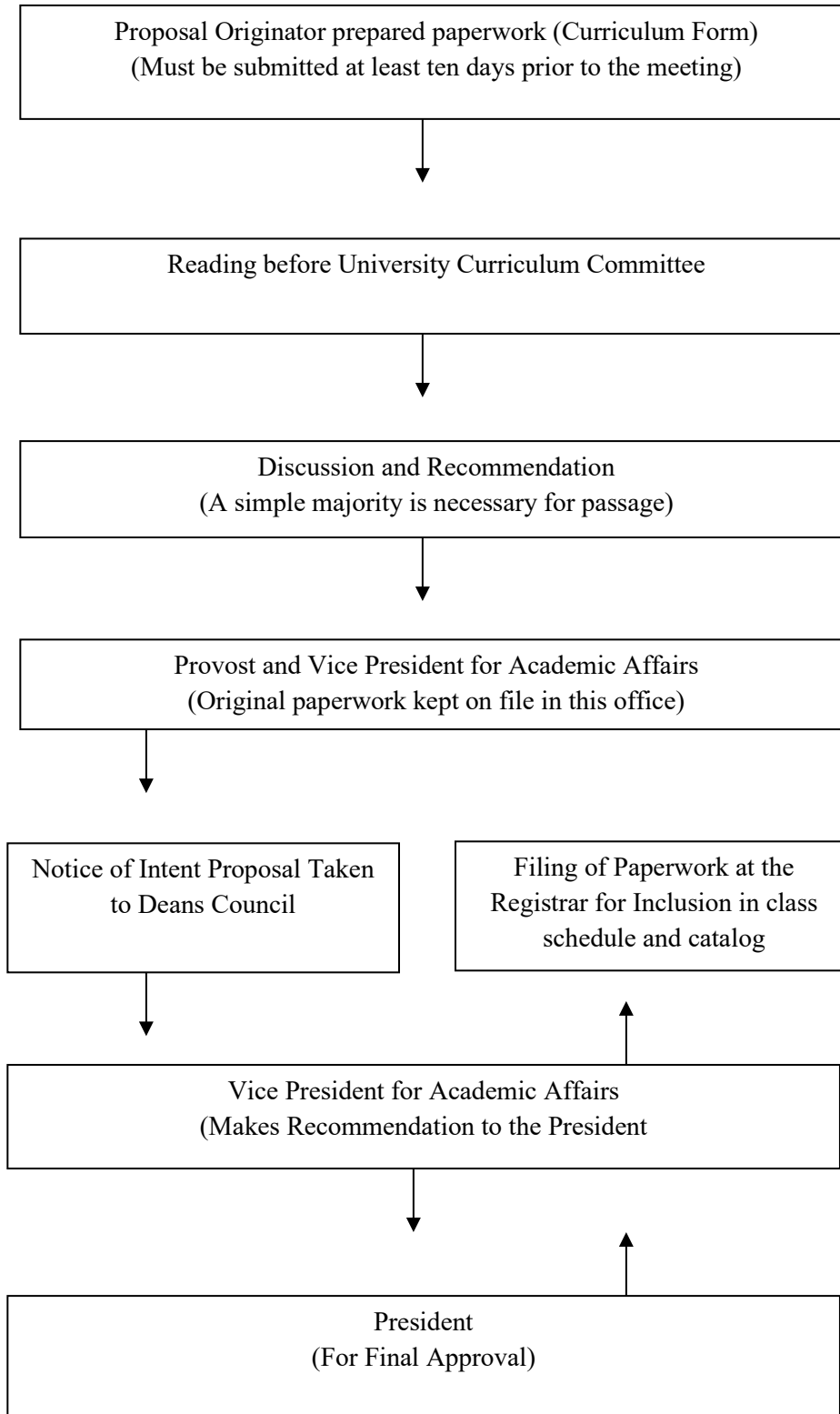
- 1 faculty representative from each college
- 1 representative from the faculty senate

*Functions:* The University Curriculum Committee has the following duties and responsibilities:

1. To periodically review and analyze existing undergraduate courses and programs and report recommendations to the Vice President for Academic Affairs;
2. To coordinate efforts in planning intercollegiate programs;
3. To provide consultation to departments, schools, colleges, and other faculty groups who are planning new additions to the undergraduate curriculum;
4. To study trends in curriculum nationally and on specific college campuses and provide recommendations to the Provost and Vice President for Academic Affairs;
5. To communicate curriculum developments on and off campus to the University academic community;
6. To review and make recommendations to the Provost and Vice President for Academic Affairs for approval of all proposals for new programs (majors, minors, electives, sequences), courses and changes in existing programs/courses;
7. To develop evaluation procedures for curriculum proposals and communicate the procedure to the University academic community;
8. To hear appeals from an academic department or equivalent when a disagreement occurs between a department/school and a college curriculum committee on curriculum matters;
9. To provide the Provost and Vice President for Academic Affairs with a monthly report of University Curriculum Committee's proceedings.

### 3. The Process

#### FLOW CHART



#### 4. The Forms

### CAVALLA INTERNATIONAL UNIVERSITY

#### NEW PROGRAM PROPOSAL FORM

Initiating Person \_\_\_\_\_ Initiating College \_\_\_\_\_

Date of Submission \_\_\_\_\_

Type of Program:

- Certificate  
 Diploma  
 Degree

\_\_\_\_\_

TITLE OF PROGRAM

*Program Description:*

*Program Objectives:*

*Program Learning Outcomes:*

*Assessment of Needs (by Public), Demand (by students), Institutional Priority*

*Planning Process and Timetable*

*Curriculum and Articulation*

*Program Structure*

*Curriculum Year* \_\_\_\_\_

<b>First</b>			<b>Second</b>		
Code	Course Title	Credit Hours	Code	Course Title	Credit Hours
<b>Total</b>			<b>Total</b>		

*Curriculum Year*

<b>First</b>			<b>Second</b>		
Code	Course Title	Credit Hours	Code	Course Title	Credit Hours
<b>Total</b>			<b>Total</b>		

*Curriculum Year*

<b>First</b>			<b>Second</b>		
Code	Course Title	Credit Hours	Code	Course Title	Credit Hours
<b>Total</b>			<b>Total</b>		

*Curriculum Year*

<b>First</b>			<b>Second</b>		
Code	Course Title	Credit Hours	Code	Course Title	Credit Hours

<b>Total</b>			<b>Total</b>		

**Total Credit Hours:** \_\_\_\_\_

CONSULTATION: Please list the department chair, directors, etc. consulted and indicate their response.

LIBRARY RESOURCES (For NEW PROGRAMS). A SAMPLE copy of at least two new courses bibliography/syllabi must be submitted.

Date Reviewed and Endorsed by the UCC \_\_\_\_\_

Signature of the Chair of UCC \_\_\_\_\_

Date Recommended for Approval \_\_\_\_\_

Signature of the Provost and VPAA \_\_\_\_\_

Action Taken by the President of the University:

Approved

Not Approved

Signature of the President \_\_\_\_\_

Date \_\_\_\_\_

Form 2-UCC

CAVALLA INTERNATIONAL UNIVERSITY

COURSE PROPOSAL FORM

Originating College:		Course Level:	
Semester and Year to be Offered		Type of Approval Sought: <input type="radio"/> New <input type="radio"/> Revision <input type="radio"/> Regularization	
Initiating Faculty	Date Submitted	Name, Phone	
Department	Approval Date	Contact Name, Phone	
College	Approval Date	Contact Name, Phone	
Check PROPOSED CHANGES (only for revision)			
<input type="radio"/> Credit	<input type="radio"/> Title	<input type="radio"/> Department	
<input type="radio"/> Number	<input type="radio"/> Pre-Requisite	<input type="radio"/> Max Credit	
<input type="radio"/> Description	<input type="radio"/> Grading		
Section I. COURSE IN PRESENT FORM		Section 2. NEW, REVISED, OR REGULARIZED COURSE	
Course Number		Course Number	
Credits		Credits	
Frequency of Offering		Frequency of Offering	
Course Title		Course Title	
Course Description		Course Description	
Pre-Requisite (s) Courses only		Pre-Requisite (s) Courses only	
Corequisite(s) Courses only		Corequisite (s) Courses only	

RATIONALE: Why are you proposing the new course or course change?

CONSULTATION: Please list the department chair, directors, etc. consulted and indicate their response.

LIBRARY RESOURCES (For NEW AND REGULARIZED COURSES. A copy of the course bibliography/syllabus must be submitted.

SYLLABUS: To be completed only for a NEW AND REGULARIZED COURSE. Append a detailed syllabus that contains at the minimum the following: Course Number, Course Title, Course Credits, Pre-Requisite, Course Description, Course Objectives, Learning Outcomes, Academic Integrity Statement, Attendance Policy, Grading Criteria, Course Outline, Course Requirements/Assignments, Assessment and Evaluation, Teaching Strategies/Techniques, and References.

Date Reviewed and Endorsed by the UCC \_\_\_\_\_

Signature of the Chair of UCC \_\_\_\_\_

Date Recommended for Approval \_\_\_\_\_

Signature of the Provost and VPAA \_\_\_\_\_

Action Taken by the President of the University:

Approved

Not Approved

Signature of the President \_\_\_\_\_

Date

**CAVALLA INTERNATIONAL UNIVERSITY**

**PROGRAM REVISION PROPOSAL FORM**

Initiating Person \_\_\_\_\_ Initiating College \_\_\_\_\_

Date of Submission \_\_\_\_\_

Type of Program:

- Certificate
- Diploma
- Degree

Original Title of Program \_\_\_\_\_

Proposed Title of Program \_\_\_\_\_

<b>First</b>			<b>Second</b>		
Code	Course Title	Credit Hours	Code	Course Title	Credit Hours
<b>Total</b>			<b>Total</b>		

*Curriculum Year*

<b>First</b>			<b>Second</b>		
Code	Course Title	Credit Hours	Code	Course Title	Credit Hours
<b>Total</b>			<b>Total</b>		

*Curriculum Year*

<b>First</b>			<b>Second</b>		
Code	Course Title	Credit Hours	Code	Course Title	Credit Hours



<b>Total</b>			<b>Total</b>		

*Curriculum Year*

<b>First</b>			<b>Second</b>		
Code	Course Title	Credit Hours	Code	Course Title	Credit Hours
<b>Total</b>			<b>Total</b>		

*Curriculum Year*

<b>First</b>			<b>Second</b>		
Code	Course Title	Credit Hours	Code	Course Title	Credit Hours
<b>Total</b>			<b>Total</b>		

**Total Credit Hours:** \_\_\_\_\_

RATIONALE: Why are you proposing such revision of the program?

CONSULTATION: Please list the department chair, directors, etc. consulted and indicate their response.

LIBRARY RESOURCES (For REVISED PROGRAMS). A SAMPLE copy of at least two new courses bibliography/syllabi must be submitted.

Date Reviewed and Endorsed by the UCC \_\_\_\_\_

Signature of the Chair of UCC \_\_\_\_\_

Date Recommended for Approval \_\_\_\_\_

Signature of the Provost and VPAA \_\_\_\_\_

Action Taken by the President of the University:

Approved

Not Approved

Signature of the President \_\_\_\_\_

Date

## 5. Syllabus Template



### SYLLABUS

Course Number :  
Course Title :  
Course Description :  
Credit Hours : 3  
Pre-requisite :  
Course Objectives :  
Learning Outcomes :

#### Academic Integrity Statement:

The quality of education at Cavalla International University is reflected in the credits and degrees its students earn. The protection of these high standards is crucial since the validity and equity of the institution's grades and degrees depend upon it. The penalty of any student found guilty of infraction of a regulation for academic integrity shall range from warning, course failure, possible suspension, or both; and or expulsion, unless evidence is provided to convince an appeal committee that substantial mitigating circumstances existed in that student's offense.

#### Attendance Policy:

Grading Criteria: Class Standing is two-third (2/3) of the grade. Class standing comprise of recitation, daily quizzes, mastery or unit examination, projects, assignment, research papers.

Midterm/Final Exam is 1/3 of the grade. Final Grade is 2/3 of the final grade and 1/3 of the midterm grade.

#### Grading system:

A = 96 – 100 4.0  
A- = 90 - 95 3.5

B+	=	85 – 89	3.0
B	=	80- 84	2.5
C	=	75 – 79	2.0
D	=	70 - 74	1.5 (Minimum passing mark)
F	=	below 70	(failure)

Course Outline:

Week 1- Introduction to the Course

Week 2

Week 3

Week 4

Week 5

Week 6

Week 7

Week 8

- Presentations
- Capstone

Course Requirements:

Teaching Strategies:

References:

Syllabus Template

Office of the Provost and VPAA

### ***30. 0 Academic Program Assessment***

#### Criteria for Program Assessment

1. Identify learning outcomes
  - What are the knowledge, skills, and dispositions that the students' gain through your program?
  - What should students be able to do as a result of this learning?
2. Aligning the curriculum with the learning outcomes
  - How is the program's curriculum (e.g., courses offered, major/minor requirements, capstone experience) aligned with the learning outcomes?
3. Identify and implement appropriate assessment methods
  - What basic data do you need?
    - e. g.
    - How many students registered?
    - How many students graduated?
    - How many are employed? Where?
    - How many are underemployed? Where?
    - How many are not employed?
  - What questions about students' learning would you like to address?
  - What procedures and/or tools will your program use to gather evidence about student learning?
  - What criteria will you use to judge successful achievement of learning outcomes?
4. Assessment results
  - What are the results of your assessment?
  - What have you learned about your program?
  - What is working well, or not so well?
5. Use assessment results for program improvement
  - What changes, if any, do you plan to implement as a result of what you have learned?
  - What are the next steps you will take in assessment?
  - Further questions on the issue just studied? New issues to pursue?

## **Definition of the Faculty**

The Faculty of Cavalla International University consists of:

- Assistant, Associate, and Full Professors
- Those with professorial titles modified by “Research,” “Clinical,” and “of the Practice.”
- Lecturers of all ranks
- Instructors

The terms “school” and “college” shall be construed to include the Faculty of Computing & Data Sciences.<sup>1</sup>

The term “dean” shall be construed to include the Associate Provost for Computing & Data Sciences except about the appointments of deans and deans’ emeriti.

## **Overview of Handbook**

This Faculty Handbook is a collection of policies that apply specifically to faculty members, related to their unique role(s) in the University. Unless otherwise stated, these policies apply to all full-time faculty and adjunct faculty employed by Cavalla International University regardless of Tenure-Track, Tenured, or Non-Tenure-Track status.

Individual Schools and Colleges may have additional or more explicit criteria, procedures, and expectations that are consistent with this Handbook. Details regarding implementation of matters such as appointment, promotion, the award of Tenure, salary increases, and related conditions of employment for faculty are available from the office of the dean of the appropriate School or College.

An individual’s acceptance of employment at Cavalla International University is sufficient to make the terms of the University’s policies applicable without further notice or agreement. These policies are subject to change by the University with or without previous notice.

## **Appointments and Promotions**

**Policies governing issues of appointment, tenure, and promotion are included here.**

### **Classification of Ranks and Titles**

Faculty appointments are classified into ranks and groups by title. These classifications have significance regarding benefits and rights that may or may not pertain to each category or classification. The original letter of appointment and each subsequent salary notification or reappointment letter shall clearly indicate the title, nature, duration, Tenure status, and salary of the appointment. Each School or College should have clear statements of the expectations for faculty of each rank and type of title.

Unless otherwise stated, the titles and associated criteria described below apply to the faculty of all colleges. All persons receiving faculty appointments should have engaged in significant scholarly work or have notable professional expertise and achievement. The standard academic ranks are Instructor, Assistant Professor, Associate Professor, and Professor. The standard professorial titles (and where appropriate Instructor) are significantly altered by the addition of modifiers such as Emeritus, University, Clinical, Research, Adjunct, or Visiting. The standard lecturer ranks are Lecturer, Senior Lecturer, and Master Lecturer.

Appointments with the standard professorial titles of Assistant Professor, Associate Professor, and Professor may be Non-Tenure-Track, Tenure-Track, or Tenured. All other faculty appointments are Non-Tenure-Track and without tenure.

A distinction is also made between full-time and part-time appointments. Full-time appointees are expected to give full-time service and allegiance to the University. No right of Tenure accrues to any person holding a part-time position regardless of title, rank, or cumulative length of service. The duties of and terms and conditions for part-time faculty shall be articulated in each letter of appointment.

## **A. Description of Standard Academic Ranks**

The basic qualifications and standards established to identify the degree and types of achievement expected in each rank vary among the University's Schools and Colleges, and the various programs within them. The general descriptions are as follows:

**Instructor:** At the undergraduate colleges, an Instructor normally holds a minimum of a master's degree or equivalent. An instructor is generally expected to have the goal of enrolling and completing a doctoral program and meeting the requirements for the doctorate or equivalent and is expected to demonstrate effectiveness primarily as a teacher. At the graduate school and Barclay College of Law, Instructor is the entry level rank for those who have recently completed their doctoral or post-doctoral training. This rank is appropriate for new faculty, generally with JD, Ph.D., or equivalent degrees, who have the potential for academic advancement. At The graduate school and Barclay College of Law individuals at the instructor level may be in positions of advanced training prior to leaving the institution or being promoted to the assistant professor rank.

All full-time Instructors are entitled under the by-laws of the University to attend and participate in the faculty meetings of their respective School or College. If authorized by the School or College faculty, they may have the right to vote. However, according to the Constitution of Cavalla International University Faculty Assembly and Faculty Council, they are not members of the Faculty Assembly.

**Assistant Professor:** Generally, an assistant professor has been awarded a doctoral or professional degree or equivalent, exhibits commitment to teaching and scholarly or professional work of high caliber, and participates in University affairs at least at the department level.

**Associate Professor:** Generally, an associate professor meets the requirements for appointment as an assistant professor, enjoys a national reputation as a scholar or



professional, shows a high degree of teaching proficiency and commitment, and demonstrates public, professional, or University service beyond the department.

**Professor:** Generally, a professor meets the requirements for appointment as an associate professor, and, in addition, has a distinguished record of accomplishment that leads to an international or, as appropriate, national reputation in his or her field.

## **B. Definition of Prefixes and Suffixes that modify Standard Academic Titles**

The standard professorial titles above and the title Instructor may be significantly modified by the use of prefixes, as follows:

The title **University Professor** is given to distinguished and exceptional individuals who are internationally recognized experts in their field, have demonstrated excellence in more than one academic specialty, who are qualified to lecture and/or conduct research in a particular subject, and who are appointed specifically to teach in the University Professors Program.

**Associate Professors of the Practice** and **Professors of the Practice** are officers of instruction who are or have been distinguished practitioners in their respective professions and whose primary responsibilities lie in teaching, mentoring, and service to the University. \*

The “**of the practice**” suffix applies to a distinguished practitioner who through teaching shares his or her knowledge and experience in the profession. The prefix “Clinical” is used for certain faculty engaged in clinical settings with students. The teaching, supervising, and mentoring provided by clinical faculty is directly related to the *practicum* of the students’ programs.

The prefix **Research** identifies faculty appointments that are offered to scientists and scholars who fulfill the research qualifications of the standard professorial or Instructor

ranks and who work for the University on research supported by external grants and contracts. The principal criteria for these titles are scholarly productivity and recognition of original work. Several titles are used to designate such positions:

- Research Instructor
- Research Assistant Professor
- Research Associate Professor
- Research Professor

Research faculty are eligible to give seminars and teach occasional courses. Teaching is at the discretion of the department. These titles may be used for appointments of one year or longer. Research appointments are for the stated term of the appointment with no guarantee or expectation of renewal.

The prefix **Adjunct** identifies a scholar whose primary place of employment is not at Cavalla International University or whose primary employment within the University is not in a faculty capacity. An Adjunct Professor is an expert in a special field appointed to give instruction on a part-time or discontinuous basis. These part-time appointments may be in the ranks of:

- Adjunct Assistant Professor
- Adjunct Associate Professor
- Adjunct Professor

Duties usually include the teaching and advising of students but do not include service on departmental committees.

The prefix **Visiting** identifies a faculty member who normally teaches at another institution or possesses other professorial qualifications and is appointed to give instruction for a stated term, ordinarily of one year or less on a full or part-time basis. The titles used to indicate such an instructional appointment are:

- Visiting Assistant Professor
- Visiting Associate Professor
- Visiting Professor

The prefix **Visiting Research** indicates that the purpose of the appointment is to facilitate collaboration with one or more members of the faculty on a specific research or scholarly project, for a stated period. The titles used are:

- Visiting Research Assistant Professor
- Visiting Research Associate Professor
- Visiting Research Professor

The qualifications of teaching and scholarship for Visiting and Visiting Research faculty are the same as expected for professorial appointments of comparable rank in the University. Persons receiving such appointments are expected to comply with all University policies pertaining to full-time positions unless otherwise clearly indicated in the letter of appointment.

**Emeritus:** The Emeritus designation is intended to recognize professors for lifetime contributions to the university, to their field, or to both, upon their retirement. “Emeritus” status is available to tenured and non-tenure track professorial faculty, including those who hold titles modified by “Clinical,” “Research” and “of the Practice.” Please see “Emeritus Status” in the Faculty Retirement section for more detail.

**Affiliated/Secondary Appointment:** An Affiliated or Secondary title is given to full-time faculty as a means of formalizing an association with a department other than that of the primary appointment. The affiliation must be recommended by the department and dean following the procedure specified by the School or College, as approved by the Provost. Termination of the primary appointment shall automatically terminate the affiliated/secondary appointment. Voting rights are outlined in the terms of the appointment.

### **C. Definition of Standard Lecturers Ranks**

**Lecturer:** A Lecturer is a faculty member appointed primarily to provide instruction for a stated term of full-time or part-time service, as specified in the appointment letter. The

basic qualifications and standards expected of the lecturer vary among the University's Schools and Colleges, but the title reflects strong teaching ability and a relevant basis of scholarly work or professional expertise and achievement.

**Senior Lecturer or Master Lecturer:** Generally, a Senior Lecturer or Master Lecturer meets the requirements for appointment as a Lecturer and has demonstrated excellence in teaching for at least five or ten years, respectively.

### **Appointment and Reappointment of Faculty**

For every faculty appointment, a written document specifying the initial title, status with respect to Tenure, initial term with dates, starting salary, and other appropriate conditions shall be provided to the faculty member with a copy supplied to his/her department. Appointments (with and without tenure) of Associate and Full Professors are not effective until and unless recommended by the Provost and approved by the President. Any subsequent extensions or modifications of an appointment shall be stated in writing to the faculty member with a copy to his/her department.

#### Payment of Salary for Faculty with 12-Month Academic Year Appointments

Faculty whose base salary is for duties performed during the twelve-month academic year (September 1 through December 31), but who receive this salary over a twelve-month period, will be paid in equal monthly installments.

#### Calendar Definitions for Faculty on 12-Month Appointments Cavalla International

University:

Academic Year: October 1 through October 31

Semester I ("Fall Semester") for Faculty: October 1 through December 31

Semester II ("Winter Semester") for Faculty: January 04 through March 31

University Fiscal Year: July 1 through June 30

#### **A. Selection and Appointment of New Full- Time Standard professional Faculty**

1. Whenever one or more full-time standard professorial faculty positions are to be filled, the chair initiates the recruitment process in consultation with the full-time faculty of the department subject to the approval of the dean.
2. The chair, in consultation with the full-time faculty of the department, shall appoint at least one search committee subject to the approval of the dean drawn usually from among the full-time faculty of the department. The committee may include members from other departments, or from outside the University. The search committee shall solicit nominations to the position and applications for it through appropriate professional channels, and it shall also accept nominations from within the University. The committee shall recruit in conformity with the requirements of affirmative action.
3. After reviewing all applicants and nominees, the search committee shall report its findings and recommendations to the full-time faculty of the department. After faculty discussion and a vote, the department chair shall report the outcome of the vote and the substance of the faculty discussion regarding a recommended candidate, or candidates, including any dissenting opinions. Together with the chair's own recommendation, this report will be conveyed to the dean of the School. The chair shall also submit the names of all the finalists considered by the faculty.
4. Candidates for initial appointment as senior faculty (standard Associate Professor<sup>1</sup> or Professor, with or without Tenure) should be reviewed as described in Section C of "Tenure and Promotion on the Charles River Campus".
5. Should the dean approve the recommendation(s), the dean will forward the recommendation(s) to the University Provost. The Provost may approve the recommendation(s) for the appointment(s), however, appointments (with and without tenure) of Associate and Full Professors are not effective until and unless recommended by the Provost and approved by the President.
6. When extraordinary circumstances dictate, the ordinary procedure described above may be replaced by an alternative procedure accommodating as much of the usual involvement of faculty and administrators as is possible. The decision to use the alternative procedure is recommended by the dean and made by the University Provost in consultation with the President. The nature of these circumstances shall be described by the dean to faculty members of senior rank of the relevant department or division before the recruitment process is completed.

## **B. Selection and Appointment of All other Faculty**

Individual Schools or Colleges shall develop and make available selection, appointment, and reappointment procedures and standards for all other faculty titles, subject to the approval of the University Provost. [Note that proposals to recruit professorial faculty on the Charles River Campus with titles modified by "Clinical," and "of the Practice" must be

approved by the University Provost. Boston University is committed to vigorous, open searches to fill these positions and must document these searches as part of our Affirmative Action/Equal Employment Opportunity reporting.]

The titles Associate Professor of the Practice and Professor of the Practice are to be used sparingly. The Dean shall present the proposed appointment and rationale for the use of the title, for review by the Appointment, Promotion, and Tenure Committee of the appropriate unit, prior to forwarding a recommendation to the University Provost.

### **C. Reappointment**

All faculty appointments except those with Tenure are subject to University decisions concerning reappointment.

Decisions to renew full-time faculty appointments are made by the University Provost on the recommendation of the dean. Subject to institutional needs and goals, recommendations for reappointment shall be based on merit as determined through the evaluation of faculty performance (see “Evaluation of Faculty Performance”). Faculty members holding term or probationary appointments should be aware that, while they are eligible for reappointment (unless otherwise specified in writing at the time of appointment), reappointment is neither inevitable nor routine.

Institutional needs and goals involve consideration of such factors as academic needs of the program; availability of resources to support the program or position – financial as well as physical; and other institutional and programmatic considerations not directly related to the merit of the individual under consideration for reappointment.

### **D. Non - Reappointment**

1. For all full-time faculty appointments, except Tenured appointments, notice of reappointment, non-reappointment, or intention not to recommend reappointment, shall normally be given in writing in accordance with the following schedule:
  - a. Not later than March 1 of the first academic year of service, if the appointment expires on June 30; or, if a one-year appointment terminates during an academic year, at least three months in advance of its termination.
  - b. Not later than December 15 of the second academic year of service, if the appointment expires on June 30; or, if an initial two-year appointment

terminates during an academic year, at least six months in advance of its termination.

- c. Not later than the June 30 preceding the final year of an appointment after two or more years at the institution.
2. Through oversight or due to extenuating circumstances, the University may fail to provide notice of non-reappointment in accord with Section 1. In such instances the faculty member shall provide the University Provost written notice of this failure within twenty-one days of the date specified above. The provost shall respond within an additional twenty-one days as to whether the faculty member shall be reappointed. If the faculty member does not notify the provost within this twenty-one-day period, the result will be non-reappointment. If the faculty member responds within the twenty-one-day period but the provost fails to reply within an additional twenty-one days after receiving the faculty member's response, the faculty member shall be entitled to an extension by one year of the current appointment.
3. There is no minimum requirement for notice of non-continuance of part-time faculty.

### **Appointment and Continuance of Appointments**

For every faculty appointment, a written document specifying the initial title, status with respect to Tenure, initial term with dates, starting salary, and other appropriate conditions shall be provided to the faculty member with a copy supplied to the faculty member's department. No full-time appointments at the rank of Associate or Full Professor take effect unless and until approved by the President. Any subsequent extensions or modifications of an appointment shall be stated in writing to the faculty member with a copy to the faculty member's department.

#### **A. Selection and Initial Appointment of New Full-Time Standard Professorial Faculty**

1. Whenever one or more full-time standard professorial faculty positions are to be filled, the chair initiates the recruitment process in consultation with the full-time faculty of the department and the dean.
2. The chair, in consultation with the full-time faculty of the department, shall appoint at least one search committee, subject to the approval of the dean, that draws at least half of its members from among the full-time faculty of the department. The committee may include faculty from other departments, from other Schools in the University or from outside the University, as appropriate. The chair of the department shall designate one of the members to serve as committee chair. The search committee shall solicit nominations and applications from within the University and externally through appropriate professional channels in conformity with the requirements of affirmative action. After reviewing all applicants and nominees appropriate for a given position, the search committee shall report its findings and recommendations to the chair of the department.

3. The chair of the department shall forward the chair's recommendation of a candidate to the dean of the School, along with the names of all candidates recommended by the search committee, and a list of the candidates considered for the position(s) being filled.
4. Should the dean concur with the chair's recommendation, the chair will seek faculty approval of the recommended candidate through the appointment and promotion committee process set out in the by-laws of the School. Should the School's Committee on Faculty Appointments and Promotions approve the appointment, it will be forwarded for approval by the Medical Campus Provost, however, appointments of Associate or Full Professors are not effective until approved by the President of the University.
5. When extraordinary circumstances dictate, the ordinary procedure described above may be replaced by an alternative procedure accommodating as much of the usual involvement of faculty and administrators as is possible. The decision to use the alternative procedure is recommended by the department chair and approved by the dean and Medical Campus Provost in consultation with the President. These circumstances shall be described by the dean to faculty members of senior rank of the relevant department or division before the recruitment process is completed.

**B. Non-Continuance of Initial Appointments for Standard Professorial Faculty**

1. If appropriate, notice of non-continuance of appointment shall be provided in writing to Standard Professorial faculty members during the period of their initial appointment. Termination will be effective on the date of the expiration of their initial appointment or delayed according to the following formula based on the duration of the initial appointment and the time of the notice of non-continuance:

Initial term in months	Termination is effective the date of expiration or:
12 or fewer	3 months from the date of notice of termination, whichever is later
13-24	6 months from the date of notice of termination, whichever is later
>24	12 months from the date of notice of termination, whichever is later

2. If notice of non-continuance or termination is given anytime during the period of the initial appointment, there will be no automatic continuation of the appointment as a rolling appointment under the terms of Section C.



**C. Terms of Appointment/Notice of Non-continuance for Standard Professorial Position After the Period of Initial Appointment**

Upon the expiration of the initial term of an appointment as Professor, Associate Professor, or Assistant Professor, and in the absence of notice of non-continuance or termination as provided above in Section B, the appointment shall be automatically continued as a rolling appointment as per the following table until a notice of non-continuance is provided.

<b>Rank</b>	<b>On any date the remaining term of appointment, in the absence of a letter of non-continuance, shall be:</b>	<b>If notified of non-continuance, salary shall be provided for the terminal period as follows:</b>
Professor	3 years	100% year 1; 80% years 2 & 3
Associate Professor	2 years	100% year 1; 80%-year 2
Assistant Professor	1 year	100%-year 1

Notice of non-continuance may be given in writing to the faculty member at any time during the appointment and shall be effective not less than the number of years designated in the table above by rank from the date of notice. The length of notice and level of salary specified above in this Section B represent minimums and may be increased at the discretion of the department chair with the approval of the dean. The provisions for salary continuance specified above do not apply to any compensation received other than through the University’s payroll (e.g., salary received by the faculty member directly from other institutions, companies or organizations is not covered by these provisions.) Appointments for any rank may be terminated at any time for cause in accordance with University procedures.

<sup>2</sup> The contract for Faculty Practice Plan members determines the procedures for their non-continuation, not this Section B.

<sup>3</sup> The contract for Faculty Practice Plan members determines the procedures for their non-continuation, not this Section C.

## **D. Instructors**

The term of appointment, or reappointment, for each Instructor shall be stated in an offer letter and shall not exceed 12 months. The appointment shall terminate at the expiration of the term stated in the letter. No notice of intent not to reappoint shall be required. If an Instructor is kept on after expiration of the Instructor's appointment without a written letter of reappointment, the Instructor will serve at will. (At-will appointments may be terminated at any time without cause, with no specific minimum length of notice required to terminate such appointments.)

## **E. Criteria for Non-continuance**

Although faculty members holding rolling or term appointments are eligible for continuance (unless otherwise specified in writing at the time of the appointment), continuance is neither inevitable nor routine. The decision not to continue an appointment shall be made by the department chair with the approval of the dean. Subject to institutional needs and goals, recommendations for non-continuance of appointments shall be based on merit as determined through evaluation of faculty performance (see Evaluation of Faculty Performance).

Institutional needs and goals involve consideration of such factors as academic needs of the program; availability of resources to support the program or position – financial as well as physical; and other institutional and programmatic considerations not directly related to the merit of the individual under consideration for continuance of the appointment.

## **F. Termination or Suspension for Cause**

The services of a faculty member during the faculty member's appointment may be terminated only for adequate cause as provided in the policy, "Suspension or Termination for Cause", as a result of a discontinuation as provided in University Policies on "Department and Program Discontinuation and Consequent Faculty Terminations."

## **Evaluation of Faculty Performance**

### **Criteria**

“Merit” shall be determined by considering relevant criteria including the following as appropriate to the position:

1. teaching effectiveness.
2. scholarly and professional achievements.
3. research, as evidenced by both published and unpublished works.
4. direction of graduate studies.
5. advisory and counseling service.
6. success in generating external funding to support research or other programs.
7. service to professional societies.
8. service to the programs and administrative work of the University (other than teaching and research).
9. professional activities in the community.
10. attributes of integrity, industry, objectivity, leadership, collegiality, and cooperation.
11. success in clinical practice.

These criteria are not listed in order of importance, nor are they to be rigidly applied.

Persons making such evaluations should keep in mind, however, the primary interest of the University in retaining and rewarding persons of superior teaching ability and scholarly achievement.

### **B. Procedures**

The procedures below are intended to be used to apply the criteria above in the evaluation of a faculty member’s performance for the purpose of reappointment and for the granting of salary increases. In reviews for Tenure and/or promotion, the criteria above are applied according to the procedures in the policies, “Tenure and Promotion on the Charles River Campus” and “Procedures for Promotions on the Medical Campus.”

Upon request, each full-time faculty member shall prepare and forward to the chair of the department or division, or otherwise to the dean, an annual written report that will aid in the evaluation of the faculty member’s performance.

This evaluation shall be made initially by the appropriate department or division chair or, if the chair so designates, by the head of a section within a department; otherwise, it shall be made by the dean. The department or division chair, otherwise the dean, shall consider the faculty member's report and other pertinent evidence in the chair's or dean's evaluation and recommendation. The department, School, or College may add to these procedures any such steps as will assist it in the evaluation process, e.g., consulting with the directors of Programs or Centers in which the faculty member participates, using a faculty review committee, consulting with qualified persons outside the University, and seeking information from faculty members and students according to procedures that will be determined by each School or College.

The dean shall review all recommendations and shall make use of whatever further consultation is deemed to be of assistance in formulating recommendations to the University Administration. When the faculty member involved has an assignment in other Schools or Colleges, the dean shall consult with the dean of those Schools and Colleges.

### **Tenure and Promotion**

When a faculty appointment is "tenured," it means that the appointment is without term, in contrast to non-tenured appointments, which have a term specified by a contract. The section of the Faculty Handbook below describes the procedure for granting tenure, and other sections discuss the circumstances under which tenure may be revoked, for example, *Termination for Cause* and *Program Discontinuation and Consequent Faculty Terminations*. Faculty appointments normally are based in departments or similar divisions within the schools and colleges that comprise the University. If a department or an entire school or college is eliminated, tenured faculty may no longer have a valid appointment. Please see *Department and Program Discontinuation and Consequent Faculty Terminations* for further information.

## A. Tenure

1. The general criteria for awarding tenure are a strong record of a) teaching, b) scholarly and/or creative work, and c) University and professional service. While the relative weight accorded these areas of professorial activity may vary among the Schools and Colleges, a national reputation for excellence in scholarly and/or creative work is required.
2. The award of tenure to an Assistant Professor shall include promotion to the rank of Associate Professor. In the School of Law, tenure track faculty members enter as Associate Professors and are considered for tenure and promotion to Professor at the end of the standard probationary period.
3. There shall be no presumption for the award of tenure in any individual case.
4. The services of a faculty member on tenure may be terminated only for adequate cause as provided in the policy, "Suspension or Termination for Cause," or as a result of a discontinuation as provided in University Policies on "Department and Program Discontinuation and Consequent Faculty Terminations."

## B. Tenure Review Schedule and Notification

1. **Full-length Probationary Period:** Faculty members holding tenure track probationary appointments must be considered for tenure not later than in their *seventh* year of service at Boston University unless the probationary period has been extended as described in Section 3, below.
2. **Reduced Probationary Period for Prior Service:** The mandatory year of tenure review for members of the faculty who have prior full-time professorial service at another institution of higher learning will normally be set for a time earlier than the seventh year, by mutual agreement between the faculty member and the Dean at the time the offer of a tenure track probationary appointment is made and accepted.
3. **Extension of the Probationary Period:** Extraordinary circumstances beyond a faculty member's control may have a significant negative impact on the ability of a faculty member to pursue their University responsibilities during the probationary period. In these circumstances the faculty member's Dean may request that the Associate Provost for Faculty Affairs postpone the tenure review deadline for one year, provided that the request is made within one year of the beginning of the period of impact, and before the submission deadline for the candidate's promotion application within the School or College. The faculty member also retains the right,

after consultation with his or her Chair and/or Dean, to request review at the originally specified time.

- Note that a Childbirth Leave and/or a period of Primary Caregiver Workload Reduction results in an automatic one-year extension of the tenure review deadline, as described in the section on Childbirth Leave and Primary Caregiver Workload Reduction.
  - The total extension of the probationary period may not exceed two years, regardless of the combination of circumstances that resulted in the extension(s).
  - Examples of additional circumstances in which an extension of the probationary period may be warranted are provided below. This list is not exhaustive; please contact the Associate Provost for Faculty Affairs regarding these and other situations in which an extension request may be contemplated.
    - delay of one semester or more in access to committed laboratory space in which to conduct research.
    - accidental destruction of critical resources required for scholarly or creative work.
    - medical leave of a semester or more
    - personal situations that have a severe impact on professional activities, including the life-threatening illness or death of a partner, a spouse, or a child
  - Every faculty member in the probationary period in academic year 2019-20 who will not have received a tenure decision by May 15, 2020, shall have their tenure review deadline postponed for one year due to the extraordinary circumstances associated with the COVID-19 pandemic. This one-year COVID-19 extension will be in addition to the maximum total 2-year extension referenced above. The faculty member retains the right, after consultation with his or her chair and/or dean, to request review at the originally specified time rather than postponing review under this provision.
4. **Early Tenure Review:** A faculty member holding a tenure track probationary appointment may request tenure review prior to the scheduled tenure review year. After consultation with the department Chair, the Dean may approve such a request. Once an early tenure review is approved by the Dean, the newly scheduled tenure review will be considered a mandatory review. Note that an early review that is unsuccessful because of withdrawal by the candidate or denial of tenure, will result in a terminal-year appointment that may supersede a previously existing appointment of longer term.
5. **Terminal Year:** If tenure is not awarded following a tenure review, the candidate will be appointed to a terminal appointment for one academic year.

### **C. Tenure Review Process**

1. At the beginning of the semester preceding the academic year in which the faculty member is to be reviewed for tenure, the Dean will provide the candidate with guidelines for compiling their section of the dossier and a complete timetable for the review process.
2. The candidate, the department Chair, and the Dean are responsible for the compilation of their respective portions of the dossier and the submission of all materials pertinent to an adequate consideration of the candidate's qualifications and abilities. The results of each level of the review process shall be incorporated successively into the candidate's dossier.
3. The first level of tenure review takes place in the candidate's department. Tenured members of the department examine the candidate's dossier, meet, and discuss the qualifications, and vote on whether or not to recommend the award of tenure. Individual senior non-tenure track faculty members may participate in the tenure review, if so, approved by the Dean. The lack of any tenured faculty appointed in the department does not preclude tenure review. In such instances, the Chair should consult with the senior faculty of the department. The Chair of the department reports the result of the vote or consultation as well as their own recommendation to the Dean. In the case of significant dissent, the Chair should do their best to convey a sense of the arguments on each side.
4. The faculty of each School or College, in accordance with procedures recommended by the faculty and approved by the Dean and the University Provost, select a School Appointment, Promotion and Tenure (APT) Committee whose members are Associate or Full Professors. The APT Committee examines and discusses the candidate's dossier, including the recommendation of the faculty and of the Chair of the candidate's department. A report embodying the substance of the discussion and the recommendation of the Committee is then furnished to the Dean of the School or College.
5. The Dean makes a recommendation regarding the award of tenure and so notifies the candidate. If the recommendation is positive, the Dean forwards the candidate's complete dossier, including the Chair's report and recommendation, the APT Committee report, and their own recommendation and the reasons therefor, to the University Provost. If the Dean's recommendation is negative, the Dean informs the candidate and provides information about the appeals process (for Appeals see Sections D and I).

6. The University Provost forwards the case to the University Appointment, Promotion and Tenure Committee (UAPT), whose members shall be sixteen Associate or Full Professors selected by the Provost and the Chair of the Faculty Council by mutual agreement. The UAPT Committee reviews the case and votes. A report embodying the substance of the UAPT Committee’s discussions and recommendation is added to the dossier and all materials to date are provided to the University Provost.
  
7. The University Provost makes a recommendation regarding the award of tenure. If the recommendation is positive, the Provost forwards the candidate’s dossier including the UAPT report and their own recommendation to the President. If the Provost’s recommendation is negative, the Provost informs the candidate and provides information about the appeals process (for Appeals see Sections D and I).
  
8. The President notifies the candidate of their decision.
  
9. The candidate may withdraw their tenure application at any stage of the process before the decision by the President. However, if the faculty member withdraws their application, the faculty member’s appointment becomes a terminal-year appointment for the academic year following the tenure review, regardless of the amount of time that would have remained on the faculty member’s appointment following the scheduled tenure review year.

**D. Appeal path for a Negative Tenure Decision**

1.
  1. A tenure case will progress to the Dean, regardless of the votes at earlier levels. The Dean’s negative recommendation is the final decision unless an appeal is successful. Therefore, there are three steps in the tenure review at which a candidate may appeal a negative recommendation, as shown in the following table:

Level of Negative Recommendation	Appeal Reviewer	Outcome
Dean	University Provost	Supports appeal → sends case to UAPT  Denies appeal → decision is final
University Provost	President	Supports appeal → promotion is granted  Denies appeal → decision is final



President denies after positive recommendation by the University Provost

Reconsideration by the President

Supports appeal → promotion is granted

Denies appeal → decision is final

2. The processes used to appeal a negative tenure decision are described in Section I: Appeals.

### **E. Information**

The candidate shall, upon request, be given copies of reports and rationales from each level of the Tenure Review process. To facilitate this procedure, reports and rationales are formulated and/or redacted in such a way as to preserve the anonymity of participants in the judgment to the extent that this is consistent with the communication of the basis of judgment at each level. The candidate is not given access to individual evaluation letters or direct quotations from evaluation letters which are submitted in confidence.

### **F. Timetable of the Tenure Review Process**

In the case of an ordinary Tenure Review, the general timetable will be as follows: the candidate's complete dossier including their application, the recommendations of the candidate's Chair, department, APT Committee, and the Dean, as well as the external letters and all supplemental material must be uploaded to the Provost's secure website by February 1 of the year in which the decision will be made (mandatory tenure review year). Individual Schools and Colleges have their own internal timetable to meet this central submission deadline. The University Appointment, Promotion and Tenure committee reviews the cases for promotion to Associate Professor, with or without tenure, and applications for Tenure alone, between February 1 and April 15 and all candidates are notified of the final decision by the Provost or President no later than May 15 of their tenure review year. Please note that all candidates in the regular review cycle are notified on the same date, which may be earlier than May 15 in some years. Promotion applications are no longer sent to the Trustees for final approval.

## **G. Accelerated Tenure or Promotion Process**

On occasion, the University may wish to attract eminent individuals from outside the University who would not accept appointment to the faculty without immediate tenure or senior rank. Or the University may be confronted with the need for a quick tenure or promotion decision in the case of one of its own faculty members who has an offer from another institution and would be likely to accept the offer unless awarded tenure or promotion at Boston University. In such circumstances, the Dean and University Provost shall call for expedited consideration, reporting, and recommendations by the department faculty, the Chair, the School or College APT, the Dean, the UAPT, and the Provost. Based on this information, the President may choose to approve the award of tenure, promotion, or initial senior rank to the candidate or faculty member.

## **H. Promotion Not Related to Tenure Review**

Eligibility for promotion within a track is open to full-time:

- Lecturers and Senior Lecturers
- Assistant Professors and Associate Professors not on the tenure track
- Tenured Associate Professors
- Clinical Assistant Professors and Clinical Associate Professors
- Research Assistant Professors and Research Associate Professors
- Associate Professors of the Practice

## **I. Appeals Process for Negative Promotion Decisions, With or Without Tenure**

1. The candidate must file an appeal of a negative recommendation within 30 calendar days after being notified in writing of the negative recommendation. If a request is filed after the 30-day time period, the Appeal Reviewer may deny the appeal as untimely. The filing of an appeal does not extend the terminal appointment period.

2. The appeal of a negative recommendation must be based on one or more of the following grounds: (a) the candidate has met all criteria for promotion and the decision was erroneous on the merits; (b) the promotion review process was marred by significant

procedural *errors* that substantially affected the outcome of the decision; or (c) the promotion review process was affected by *unlawful discrimination* that substantially affected the outcome of the decision. When filing an appeal, the candidate must identify all grounds on which it is based, as the candidate will be afforded only one opportunity to request a review of a negative recommendation.

3. Appeals based solely on claims that the negative recommendation was erroneous based on the *merits* of the case will be reviewed by the appropriate Appeal Reviewer, who will inform the candidate of the decision in writing. The Appeal Reviewer's decision is final.

4. If an appeal on the merits of the case includes claims that *procedural errors* or *unlawful discrimination* substantially affected the outcome of the decision, and the Provost convenes a committee to review those claims as described below, the Appeal Reviewer will defer a decision on the appeal of the merits of the promotion recommendation until the committee has issued its report.

5. If the faculty member's appeal of a negative promotion or tenure recommendation is based on, or includes allegations of:

(a.) procedural errors or deviations from standard processes during the review that were significant enough to substantially affect the outcome of the decision; or

(b.) bias or discrimination based on race, color, creed, religion, ethnic origin, age, sex, disability, sexual orientation, gender identity, or another unlawful basis that was significant enough to substantially affect the outcome of the decision.

then the Provost will determine whether:

(a.) the candidate has articulated claims of procedural errors or unlawful discrimination that, if ultimately supported by the evidence, would provide a basis to re-examine the negative recommendation; and

(b) a formal review by a faculty committee will aid in determination of relevant facts.

The Provost's decision on whether to proceed with committee review is final.

6. If the Provost determines that committee review is warranted, the Provost will appoint an *ad hoc* faculty committee of three senior faculty (naming one as Chair) and notify the candidate of their appointment. A candidate who believes that any of the *ad hoc* committee members cannot participate as an objective fact finder must inform the Provost within seven calendar days. The Provost will decide if there is a need for an alternate committee appointment.

7. The *ad hoc* committee's review process may include review of documents, including the promotion dossier, as well as witness interviews and consultation with other University personnel including the Equal Opportunity Office, as appropriate. The witness will be given advanced notice as to the nature of the appeal prior to the interview. The candidate may select a faculty member advisor who may accompany the candidate to any appearance before the *ad hoc* committee for purposes of providing support, but who may not directly participate in the review.

8. The *ad hoc* committee should seek to complete its review and issue a written report containing its findings of fact to the Provost within 75 calendar days. Review of the appeal by an *ad hoc* committee does not extend the terminal appointment period.

9. The Provost will review the *ad hoc* committee report and make a final decision as to whether procedural errors or unlawful discrimination may have affected the outcome of the promotion recommendation. In making that decision, the Provost may consult with whomever the Provost decides is appropriate. If the Provost finds the outcome may have been affected by procedural errors or unlawful bias, the Provost should establish an internal mechanism to reconsider the decision. The Provost will inform the candidate of the decision in writing. The Provost's decision is final.

10. This review process, including the identity of the members of the *ad hoc* committee, information obtained in the review process, and information disclosed to witnesses

consulted by the committee should be kept confidential by all participants, including the candidate and witnesses. The *ad hoc* committee will not disclose to the candidate the identity of the external evaluators, individual evaluation letters, or direct quotations from evaluation letters which are submitted in confidence.

### **Selection Chairs**

Note that in September 2020, the University Provost delegated the *approval* for the appointment and re-appointment of department chairs to dean of the School or College. Prior to September 202, the appointment of a chairs, acting or otherwise, was subject to the approval of the University Provost. Although the dean is now responsible for the final approval, the following procedure should still be followed.

Whenever it becomes necessary to appoint a chair on the Charles River Campus, the dean of the School or College may appoint an acting or *ad interim* chair, and, after consultation with full time members of the faculty of the department concerned, shall decide whether to seek a chair from among the members of the department or to open a search to individuals from outside the department. If the appointment is only for the temporary absence of the current chair, the appropriate title is acting chair. If a process for selecting a new chair is to be undertaken, the dean may appoint an *ad interim* chair from among the current faculty.

**Internal Appointment:** If the chair is to be selected from within the department, the procedure for the nomination of candidates shall be determined by the departmental faculty after consultation with the dean. The results of that nomination process are provided to the dean.

**External Appointment:** If the decision is made to conduct an external search, a search committee shall be formed to advise the dean. The committee shall normally comprise six in all, with an equal number of faculty from the department, elected by the faculty of the department, and faculty members from cognate fields appointed by the dean. The chair of the search committee shall be appointed by the dean. The search committee shall solicit nominations and applications through appropriate professional channels, observing appropriate affirmative action procedures, and it shall also request nominations from

within the University. However, no member of the Committee shall be a candidate for the position. Upon completion of the search process the committee shall report its recommendations to the dean along with a summary evaluation of the recommended candidates and provide to the department a summary report of its recommendations.

**Dean's Approval:** It is the Dean's responsibility to approve the appointment of department chairs. Normally the individual approved by the dean for appointment as department chair will have been recommended by the departmental faculty or by the search committee if there is an external search. However, upon receipt of the departmental recommendation or the search committee summary evaluation, the dean may choose to ask the department faculty or search committee for further recommendations. Failing receipt of recommendations acceptable to the dean within a reasonable period, and after consultation with the department, the dean may appoint either an acting or *ad interim* chair, or a regular chair.

**Term:** The appointment term of a department chair on the Charles River Campus shall normally be for three years. After consultation with the department, the chair may be reappointed. Unsatisfactory performance, as determined by the dean, may result in termination of the appointment of the chair prior to completion of a term.

### **Appointment of a Deans**

Whenever it becomes necessary to appoint a dean, the University Provost will constitute an advisory committee to assist in locating candidates qualified to fill the vacancy. The advisory committee shall consist of three faculty members elected by the faculty of the School for which a dean is to be selected, two faculty members elected by the Faculty Council from other Schools, and as many as three members designated by the provost. After consultation with the appropriate student groups, the provost may appoint up to two students to the advisory committee. The provost will appoint a chair from among the members of the committee. If the required dean is for the graduate school or Barclay College of Law, the Provost will select the members designated above.

The advisory committee shall solicit nominations from all constituencies of the University as well as from appropriate sources outside the University. The advisory committee should consult regularly with the provost. The faculty of the School involved will be given the opportunity to express their views to the advisory committee. At the completion of its work, the advisory committee will submit the names of the qualified candidates and shall make one or more recommendations to the provost for final selection by the president and approval by the Board of Trustees.

In the event of a temporary absence or vacancy in a deanship, the President, after consultation with the faculty of the School or College, as well as the appropriate provost, may appoint an acting dean or dean *ad interim* as appropriate.

### **Promotions General Standards**

Eligibility for promotion is open to:

- Lecturers and Senior Lecturers
- Instructors, Clinical Instructors, and Research Instructors
- Assistant Professors and Associate Professors (unmodified)
- Clinical Assistant Professors and Clinical Associate Professors
- Research Assistant Professors and Research Associate Professors
- Associate Professors of the Practice

#### **A. Promotion Standards**

Each School and colleges shall define appropriate standards for promotion.

While the standards for promotion for the different tracks vary by school, two expectations are consistent for all three schools: a national reputation for excellence in scholarly work is required for promotion from the rank of unmodified Assistant Professor to the rank of unmodified Associate Professor, and an international reputation for excellence in scholarly work is normally required for promotion to the rank of unmodified Professor. Significant weight is normally placed on the strength of these activities since the last time the faculty member was appointed or promoted.

## **B. Timeline for Promotion**

The University defines no rigid timeline for promotion, however progress towards promotion is expected to be discussed at each annual review meeting between the graduate School, the Barclay College of Law and members and their immediate supervisor or department Chair, as appropriate. The general guidelines for the interval between initial appointment or last promotion and subsequent promotion for Medical Campus faculty are the following:

**1. Promotion from Lecturer to Senior Lecturer, and from Senior Lecturer to Master Lecturer:** In keeping with University expectations regarding the use of these titles as may be noted elsewhere in the handbook: Lecturers and Senior Lecturers will normally have at least 5 years of full-time service in their respective ranks before being eligible for consideration for promotion.

**2. Promotion from Instructor, Clinical Instructor, or Research Instructor to Assistant Professor, Clinical Assistant Professor, or Research Assistant Professor, respectively:** The timing varies by individual and is contingent on the need for additional professorial faculty.

**3. Promotion from Assistant to Associate Professor (modified or un-modified):**

- Graduate School: after at least 3-6 years in rank
- Barclay College of law after at least 3 years in rank
- Undergraduate: after at least 5 years in rank

**4. Promotion from Associate Professor to Professor (modified or un-modified)**

- Graduate School: after at least 5 years in rank
- Barclay College of Law: after at least 5 years in rank 1
- Undergraduate: after at least 5 years in rank

Please note that individual circumstances may justify deviating from these general guidelines, either shortening or lengthening the time to promotion, and in all cases, promotion is granted based on accomplishment, not on time in rank.



## **C. Promotion Procedures**

**1.** Typically, the promotion process is formally initiated by the Chair of the candidate's department in consultation with the faculty member but may also be initiated by the faculty member. Each school on the Medical Campus has formal, written procedures for promotion materials (see Section A, above). The dossier includes a personal statement, CV, a letter from the Chair of the candidate's department, and additional letters of evaluation solicited by the Chair or Dean, according to each school's practices.

**2.** The first level of promotion review in the candidate's department is conducted by full-time members holding a rank at least as high as that for which the candidate is considered-  
**2.** If the department does not recommend promotion, the candidate is referred to the appropriate appeals process. **3.** Candidates, at their request, shall be given copies of an appropriately redacted Chair's letter, and committee reports from each level of the promotion review process. Reports must be formulated or redacted to preserve the anonymity of participants to the extent possible while communicating the basis of the decisions at each level. The candidate will not receive the roster of faculty asked to provide individual evaluation letters, the letters themselves or direct quotations from evaluation letters which are submitted in confidence.

## **D. Appeals Process**

**1.** The candidate may appeal a negative recommendation at each step in the review process. Appeals based solely on claims that a level of review reached an erroneous negative decision based on the merits of the case will be reviewed at the appropriate step as described in the tables below. All appeal decisions will be provided to the candidate in writing.

**Table 1:** Appeal Path for Promotions of Lecturers, Senior Lecturers, Instructors, Clinical Instructors and Research Instructors on the Medical Campus

Level of Negative Recommendation	Appeal Reviewer	Outcome
Department or School Review Process	Dean	Supports appeal → promotion is granted  Denies appeal → decision is final
Dean	Graduate School, Barclay College of Law, Provost	Supports appeal → promotion is granted  Denies appeal → decision is final

**Table 2:** Appeal Path for Promotions of Assistant and Associate Professors (unmodified) on the Medical Campus

Level of Negative Recommendation	Appeal Reviewer	Outcome
Department	School Promotions Committee	Supports appeal → sends case to Dean and review resumes  Denies appeal → decision is final
School Promotions Committee	Dean	Supports appeal → sends case to Medical Campus Provost and review resumes  Denies appeal → decision is final
Dean	Graduate school, Barclay College of Law, Provost	Supports appeal → sends case to the President and review resumes  Denies appeal → decision is final

Medical Campus Provost	President	Supports appeal → promotion is granted
		Denies appeal → decision is final
President denies after positive recommendation by the Provost	Reconsideration by the President	Supports appeal → promotion is granted
		Denies appeal → decision is final

**Table 3:** Appeal Path for Promotions of Clinical, Research and of the Practice Professorial Faculty on the Graduate School and Barclay College of Law

Level of Negative Recommendation	Appeal Reviewer	Outcome
Department	School Promotions Committee	Supports appeal → sends case to Dean and review resumes
		Denies appeal → decision is final
School Promotions Committee	Dean	Supports appeal → promotion is granted
		Denies appeal → decision is final

2. The candidate must file an appeal within 30 calendar days of being notified in writing of the negative recommendation.

3. Candidates must identify all grounds on which their appeals based, as they have only one opportunity to request a review of a negative recommendation. The appeal must be based on one or more of the following grounds: (a) the candidate has met all criteria for promotion and the decision was erroneous on the merits (appeal review follows path in the tables above); (b) the promotion review process was marred by significant procedural errors that substantially affected the final decision; or (c) the promotion review process

was affected by unlawful discrimination that substantially affected the final decision. If the appeal is based on the merits plus additional grounds (b and c), the additional grounds will be reviewed before the review based on the merits of the case. A review on the merits of the case is available, even when an appeal based on b and c has been unsuccessful.

4. If an appeal includes claims that:

- procedural errors or deviations from standard processes at the department, college, or University level that substantially affected the decision; or
- bias or discrimination based on race, color, creed, religion, ethnic origin, age, sex, disability, sexual orientation, gender identity, or another unlawful basis that substantially affected the decision.

then the Provost will determine whether:

- the claims of procedural errors or unlawful discrimination, if ultimately supported by the evidence, would provide a basis to re-examine the negative promotion recommendation; and
- a formal review by a faculty committee would aid in determination of relevant facts.

The Provost's decision on whether to proceed with committee review is final.

5. If the Provost determines that committee review is warranted, the university Provost will appoint an *ad hoc* faculty committee of three senior faculty (naming one as Chair) and notify the candidate of their appointment. A candidate who believes that any of the *ad hoc* committee members cannot participate as an objective fact finder must inform the Provost within seven calendar days. The Provost will decide if an alternative committee member is needed.

6. The *ad hoc* committee should complete its review and provide a written report of its findings of fact to the Provost within 75 calendar days. The *ad hoc* committee's review process may include review of documents, including the promotion dossier, as well as witness interviews and consultation with other University personnel including the Equal Opportunity Office, as appropriate. The witness will be given advanced notice as to the nature of the appeal prior to the interview. The candidate may select a faculty member

advisor who may accompany the candidate to any appearance before the *ad hoc* committee for purposes of providing support, but who may not directly participate in the review.

7. This review process, including the identity of the members of the *ad hoc committee*, information obtained in the review process, and information disclosed to witnesses consulted by the committee should be kept confidential by all participants, including the candidate and witnesses. The *ad hoc* committee will not disclose to the candidate the identity of the external evaluators, individual evaluation letters, or direct quotations from evaluation letters which are submitted in confidence.

8. The Provost will review the *ad hoc* committee report, consult with others as needed, and make a final decision whether procedural errors or unlawful discrimination may have affected the outcome of the promotion recommendations. The department Chair and the candidate will be informed of this decision in writing, and the decision is final.

9. If Provost finds the outcome may have been affected by procedural errors or unlawful bias, the Medical Campus Provost will establish an internal mechanism to reconsider the decision.

# **Workplace Violence prevention Policy**

## **Human Resources**

**Threats of imminent violence, violent incidents, or dangerous or emergency situations should be reported immediately to the necessary authorities.**

Cavalla International University is committed to promoting and maintaining a safe and secure working environment for its faculty and staff, employees, students, and visitors. Violent behavior, threats of violence, or physical intimidation will not be tolerated in the Cavalla International University workplace. If such conduct occurs, it should be promptly reported to the proper authority and investigated. The University will take appropriate action in response to reports of such conduct. Employees found to have violated this policy will be subject to disciplinary action, which may include immediate dismissal. In addition, the University may assist in pursuing civil penalties, criminal penalties, or other appropriate action against the offender. Student offenders will be subject to the Code of Student Responsibilities in addition to this policy.

Anyone who believes that he or she is a victim of threatening or violent conduct in the workplace, or who observes such behavior or believes a credible threat of such behavior exists, should immediately report the conduct. Those who make such reports in good faith will be protected from any retaliatory employment actions.

### **Prohibited Conduct**

Prohibited conduct in the Boston University workplace includes violent behavior, physical attacks, verbal or physical threats of violence, physical intimidation, stalking, and property damage committed by or against any faculty or staff, or any postdoctoral, graduate, or undergraduate student employed at the University. Prohibited conduct does not encompass lawful acts of self-defense or the defense of others. Most personal situations need not be reported to Boston University unless they pose a risk of violence in the workplace. Examples of personal

situations that could pose a risk of violence in the workplace and should be reported to the appropriate authority at Boston University include, but are not limited to:

- Incidents or threats of domestic violence against an employee where it is possible that the threatening party could seek out the employee at work.
- Receipt of threatening or harassing telephone calls, emails, or other communications.
- Unwanted pursuit or threats by an outside party who has been observed at or near the workplace; and
- Any situation in which an employee has obtained a protective or restraining order naming his or her workplace as a prohibited area of contact.

### **Responsibilities**

The prevention of workplace violence is a shared responsibility. Specific responsibilities are described below. Depending on the circumstances, the University may be obligated to report incidents to external agencies. The University's policy is to fully comply with its reporting obligations in all cases. Anyone having questions about such reporting are encouraged to contact the local authorities.

### **Everyone at Cavalla International University:**

- Report violent incidents or threats of imminent violence to BUPD, Medical Campus Public Safety or local police.
- Report warning signs of actual or potential violent or hostile behavior that may affect the workplace as soon as possible to your manager or supervisor, Office of the University Provost, Human Resources, or Dean of Students. (See "Procedures for Reporting Violence or Threats of Violence" below.)
- Be alert to behaviors or attitudes that may be indicators of disruptive, threatening, or violent behaviors such as: recent changes in behavior, appearance, or demeanor; work or personal crisis; withdrawal from normal activities or contacts; substance abuse; threats or references to violence or self-harm; possession of or fascination with weapons; and expressions of being wronged, humiliated, or degraded.

### **Managers and Supervisors:**

- Ensure awareness of this policy by faculty and staff, as well as by postdoctoral, graduate, and undergraduate student employees within your areas of supervision.
- Contact Cavalla International Human Resource
- Take appropriate steps to protect those who report threatening behavior from retaliation.
- Participate in planning and response efforts to mitigate the risk of workplace violence.

### **Human Resources and University Provost's Office:**

- Ensure the effective implementation of this policy by collaborating with hiring units/departments.
- Review reports of potential workplace violence or hostility affecting employees, consult other campus units as appropriate, and recommend appropriate responses.
- Oversee disciplinary action against employees who have violated the policy.
- Coordinate preventive measures to encourage a safe and secure workplace.
- Review this policy annually and revise it as appropriate to enhance its effectiveness.
- Take appropriate steps to protect those who report threatening behavior from retaliation.

### **Cavalla International University Faculty & Staff Assistance Office:**

- Provide crisis counseling, advocacy, and management consultation for those affected by workplace violence, hostility, or harassment.
- Provide consultation regarding behavioral risk factors in the prevention and management of potential workplace violence.
- De-brief with campus units, individuals, or groups who may experience secondary trauma from a violent incident.

### **Procedures for Reporting violence of Threats of Violence:**

It is the responsibility of every member of the campus community to take any violence or threat of violence seriously and to immediately report workplace violence or threats of violence to the appropriate authorities listed below Human Resource department and office of the Provost.

### **Equal Opportunity**

Since its founding in 1995, Cavalla International University has been dedicated to equal opportunity and has opened its doors to students without regard to race, sex, creed, or other irrelevant criteria. Consistent with this tradition, it is the policy of Boston University to promote equal opportunity in educational programs and employment through practices designed to extend opportunities to all individuals on the basis of individual merit and qualifications, and to help ensure the full realization of equal opportunity for students, employees, and applicants for admission and employment. The University is committed to maintaining an environment that is welcoming and respectful to all.



Cavalla International University prohibits discrimination against any individual on the basis of race, color, religion, sex, age, national origin, physical or mental disability, sexual orientation, gender identity, genetic information, military service, pregnancy, or pregnancy-related condition, or because of marital, parental, or veteran status. This policy extends to all rights, privileges, programs, and activities, including admissions, financial assistance, educational and athletic programs, housing, employment, compensation, employee benefits, and the providing of, or access to, University services or facilities. Boston University recognizes that non-discrimination does not ensure that equal opportunity is a reality. Accordingly, the University will continue to take affirmative action to achieve equal opportunity through recruitment, outreach, and internal reviews of policies and practices.

The coordination and implementation of this policy is the responsibility of the Executive Director of Equal Opportunity. The officers of the University and all deans, directors, department heads, and managers are responsible for the proper implementation of equal opportunity and affirmative action in their respective areas, and they are expected to exercise leadership toward their achievement. It is expected that every employee of Cavalla International University will share this commitment and cooperate fully in helping the University meet its equal opportunity and affirmative action objectives.

Cavalla International University has a procedure in place by which individuals may bring forward concerns or complaints of discrimination and harassment. Retaliation against any individual who brings forward such a complaint or who cooperates or assists with an investigation of such a complaint is both unlawful and strictly prohibited by Boston University. Please contact Human Resources and the Office of the Provost

## Grievance Procedure

**Purpose:** The grievance process provides a means to resolve disputes which have not been resolved through the normal process of reasoned discussion. The grievance process is intended to define clearly the matters that are at issue; to assure the faculty member that the faculty member's complaint or problem has been presented to and considered by appropriate University officials and bodies; and to assure the University community that decisions involving faculty members in their relationship to the University are fully considered. Please note that all allegations of *unlawful discrimination* or harassment, except those arising out of the tenure and promotion process for faculty with unmodified titles, are to be processed under the University's policy regarding "Alleged Unlawful Discrimination or Harassment". rather than through the Grievance Procedure described here. All allegations of *misconduct in scholarship and research* are to be processed under the University's policy regarding research' "Allegations of Misconduct in Scholarship and Research. All allegations relating to a decision not to promote and/or not to award tenure are to be processed solely under the University's policies regarding promotion appeals in the Handbook sections titled, Tenure and Promotion.

**Process:** This process is available to any faculty member who has a grievance with respect to appointment, salary, assignment of duties, academic freedom or working conditions. The grievance process is to be used when the faculty member has been unable to resolve the matter with the department chair and the dean of the appropriate School or College. The grievance consists of a written appeal, and any supporting documentation, which is transmitted by the faculty member to the University Provost, or where the grievance is against the action of the University Provost or President, to the President. If a resolution acceptable to the faculty member is not thereby affected, or if the faculty member has not received a response from the provost or president within thirty days after having submitted an appeal, the faculty member may request consideration of the grievance by the Faculty Grievance Committee. The faculty member will prepare a petition that sets forth in detail the nature of the grievance and shall state against whom the grievance is directed. It shall contain any data which the grievant deems pertinent to the case.

A Grievance Panel, comprised of members of the Committee, will decide whether the grievance merits further investigation. The submission of a petition will not automatically result in an investigation or detailed consideration of the grievance. If the Panel determines that a further investigation is not warranted, it shall report that finding to the grievant within thirty days of receipt of the grievance. If the Panel determines that further action is warranted, it will be provided with all relevant information and will seek to bring about a settlement of the issue. If, in the opinion of the Panel, such a settlement is not possible or is inappropriate, the Panel, within sixty days of receipt of the grievance, will report its findings and recommendations to the provost (or president), the parties to the grievance, and the chair of the Faculty Grievance Committee. If the Panel determines that the provost (or president) should take some action to redress the grievance, the provost (or president) shall, within thirty days, accept the recommendation(s) of the Panel or state reasons in writing for rejecting the recommendation(s) to the chair of the Faculty Grievance Committee and to the parties to the grievance, or shall indicate in writing why a decision is delayed and when a resolution is expected.

Please note that because the availability of Grievance Panel members and witnesses may be limited in the months between Commencement and Matriculation, it may be necessary to hold a grievance in abeyance over the summer and resume deliberations in the Fall. The grievant will be notified promptly if deliberations are suspended for this reason, as well as when they will resume.

**Membership of the Grievance Panel and Committee:** A Grievance Panel will consist of three faculty members chosen from among members of the Faculty Grievance Committee, normally in rotation. The Committee will consist of at least twelve faculty members holding Tenure or faculty members who have served in a full-time capacity on a continuous basis for eight years or more (with no undue representation from any School or College) and will be appointed in May of each year by the Provost and the Chair of the Faculty Council by mutual agreement, except that department chairs and deans shall not be eligible to serve on the Committee. The Faculty Grievance Committee will elect its own chair, who will report annually to the University Council. This annual report will provide a summary of the matters that came before the Committee and the disposition of those matters.

## **Suspension or Termination for Cause**

When there is an allegation of gross neglect of duty or other applicable cause sufficient to warrant suspension or termination of a faculty member during the term of an appointment, the following procedures shall apply:

### **Preliminary Proceedings**

When reason arises to question the fitness of a faculty member who has Tenure or whose term of appointment has not expired, the appropriate administrative officers shall discuss the matter with the faculty member. If a resolution is not achieved, an ad hoc committee of three (3) faculty members will be formed. Within seven (7) days of a request by the University Provost, one member will be selected by the Faculty Council and one will be selected by the provost. A third committee member will be selected by the other two within seven (7) days of their appointment. The committee shall attempt to affect a settlement and, if unsuccessful, shall make a recommendation as to whether formal proceedings should be instituted. The committee's responsibilities must be discharged within fourteen (14) days of its formation. If the committee recommends the institution of proceedings, or if the provost — even after considering a recommendation of the committee that proceedings not be instituted — decides that proceedings should be undertaken, action shall be commenced under the procedures which follow. Except when there is disagreement, a detailed statement of the grounds for the proposed suspension or termination shall then be jointly formulated by the provost and the faculty committee; if there is a disagreement, or the committee has failed to make a recommendation within the fourteen (14)-day time limit, the provost may formulate the statement.

### **Commencement of Formal Proceedings**

The provost shall start formal proceedings by transmitting a copy of the statement to the faculty member, and a notice informing the faculty member that, if the faculty member so requests, a hearing to determine whether suspension or termination should be imposed will be conducted by a faculty Hearing Committee no sooner than twenty (20) nor more than thirty (30) days from the

date of mailing of the notice. The notice shall be sent by certified mail to the faculty member's home address. The faculty member shall, at least five (5) days before the date set for the hearing, indicate in writing whether or not the faculty member wishes a hearing and, if so, respond in writing to the charges.

### **Suspension of Faculty Member**

Suspension of the faculty member during the procedures is justified if, in the opinion of the provost, harm to the faculty member or to others is threatened by the faculty member's continuance. Any such suspension shall be with pay.

### **Hearing Committee**

A Hearing Committee of five (5) faculty members shall be formed, two (2) selected by the Faculty Council, two (2) selected by the provost, and one (1) selected by the other four. The committee shall elect its own chair. The choice of members of the Hearing Committee should be based on their objectivity and competence and the regard in which they are held in the academic community.

### **Committee Procedures**

The Committee shall proceed by considering the statement of grounds for suspension or termination and the faculty member's written response.

If any facts are in dispute, the testimony of witnesses and other evidence concerning the matter shall be received.

The University Provost may designate an appropriate representative to assist in presenting the charges, but the committee shall determine the order of proof, conduct the questioning of witnesses and, if necessary, secure the presentation of any information deemed important to the case.

The faculty member shall have the option of assistance by counsel. The committee may require the production of documents or the attendance of witnesses. The faculty member or the faculty member's counsel and the representative designated by the provost shall have the right to question all witnesses who testify orally. The faculty member shall have the opportunity to be confronted by all witnesses adverse to him/her. Where for unusual reasons deemed appropriate by the committee a witness cannot appear, the identity of the witness as well as the witness' statements shall be disclosed to the faculty member. Subject to these safeguards, statements may, if necessary, be taken outside the hearing and be reported to the committee. The hearing shall be electronically recorded, and any party may obtain a copy at the party's expense. While every effort shall be given the faculty member to fully respond to the charges, the hearing shall be conducted in an informal manner reasonably calculated to ascertain the truth and shall not be limited by formal rules of evidence or other restrictions usually employed in legal proceedings.

### **Consideration by Hearing Committee**

The Committee shall reach its decision on the basis of the record after extending full opportunity to the faculty member or the faculty member's counsel and the representative of the provost to argue orally before it. The committee may request written presentations. The committee will issue its decision within ten (10) days of the conclusion of the hearing. It shall make explicit findings with respect to each of the charges presented and, if warranted, recommend suspension, termination, or other appropriate discipline. The faculty member and the provost shall be notified of the decision in writing.

### **Consideration by the president**

The report of the Committee or, in a case in which the faculty member has waived the right to a hearing, the recommendation of the University Provost shall be transmitted to the President who may either reject the recommendation and terminate the proceedings or forward the documentation to the Board of Trustees with or without the President's recommendation.

### **Consideration by the Board of Trustees**

The Board's review of the case shall be based on the record of the hearing and any further briefs presented in writing by the principals and/or their representatives. The decision of the Board of Trustees shall be final.

### **Publicity**

Except for such simple announcements as may be required covering the time of the hearing and similar matters, public statements about the case by either the faculty member or administrative officers should be avoided until consideration has been given to the case by the Board of Trustees. Announcement of the Trustees' final decision shall include a statement of the Hearing Committee's findings if this has not previously been made known. Any official news release to the public shall be made through the provost's office.

### **Allegations of Misconduct in Scholarship and Research**

When allegations of misconduct in scholarship or research have been made against a faculty member, the allegations shall be investigated. The Provost's finding of research misconduct shall not be revisited by the Hearing Committee considering a faculty member's suspension or termination for cause, but the committee shall, after providing the faculty member an opportunity to be heard pursuant to Section E, recommend an appropriate sanction, which may be suspension, termination, or other appropriate discipline.

When allegations of sexual misconduct or unlawful discrimination or harassment have been made against a faculty member, the allegations shall be investigated using the procedures set forth in the set forth. A finding of misconduct made pursuant to these procedures shall not be revisited by the Hearing Committee considering a faculty member's suspension or termination for cause, but the committee shall, after providing the faculty member an opportunity to be heard pursuant to Section E, recommend an appropriate sanction, which may be suspension, termination, or other appropriate discipline.

### **Pay Transparency Policy**

Cavalla International University will not discharge or in any other manner discriminate against employees or applicants because they have inquired about, discussed, or disclosed their own pay or the pay of another employee or applicant. However, employees who have access to the compensation information of other employees or applicants as part of their essential job functions cannot disclose the pay of other employees or applicants to individuals who do not otherwise have access to compensation information, unless the disclosure is (a) in response to a formal complaint or charge, (b) in furtherance of an investigation, proceeding, hearing, or action, including an investigation conducted by the employer, or (c) consistent with the contractor's legal duty to furnish information.



## **Faculty personal and Family leave policy**

*Note: The following policy was approved by the University Council on November 17, 2020 and takes effect on January 1, 2021.*

Faculty members are eligible for a leave of absence from work for qualifying personal or family reasons. This Faculty Leave Policy describes the types of personal and family related absences for which faculty are eligible and their respective requirements.

Qualifying personal and family leaves may be paid or unpaid. This Policy incorporates the provisions of the Family and Medical Leave Act (FMLA), the Massachusetts Paid Family and Medical Leave Law (PFML) and other relevant federal and state personal and family leave laws and presents the University's general service eligibility requirements for and specific details of each leave type. Additional information about FMLA and PFML policies and entitlements may be obtained from the Human Resources Service Center.

**The tables below provide a brief overview of the types of leaves described in this Policy.** (Click on the links provided to view the detailed requirements of each type of leave.)

Sections I-II (below the tables) provide detailed descriptions of each form of leave, including which types of leave benefits run concurrently and which may be used separately, and the type of documentation needed in order to support each form of leave.

### **Personal Leaves**

**(All types of Personal Leave run concurrently with leaves provided for under applicable federal and state laws, and separately from most other types of Personal Leave and from all Family Leaves)**

### **General Information**

The sections below provide more detail on each leave type. Information is provided both on benefits that BU provides and, in the Appendix, certain relevant provisions of federal and state personal and family leave laws. References to the University’s “Leave Administrator” refers to any external third-party administrator retained by the University to process and approve Faculty Personal and Family Leave requests under this policy (except Personal – Jury Duty Leave, and Personal – Other Leave).

### ***Application of State and Federal Leave Laws***

To the extent applicable, leave provided for under federal and state laws will run concurrently with any leave requested or authorized under this Faculty Leave Policy and other applicable University policies, including but not limited to leave provided by the University’s Paid Family and Medical Leave Law Policy; the federal Family Medical Leave Act (FMLA).

### ***Conditions of Re-employment***

A faculty member on an approved leave of absence pursuant to this Faculty Leave Policy is entitled to return to their previous position or to an equivalent position, without the loss of status and the benefits for which the faculty member was eligible on the date the leave commenced (faculty are responsible for payment of any applicable premiums during the leave). However, faculty members who fail to update the University’s Leave Administrator and their department chair regarding their intent to return to work and their expected date of return, and who fail to

return by their expected return date may be considered to have resigned voluntarily from the University.

### **Sponsored Program Funded Faculty**

During any paid absence provided for under this Faculty Leave Policy, salary contributions from sponsored awards are subject to the policies of the sponsor. For assistance regarding sponsored award effort commitment requirements, faculty members should work with their relevant department administrator and Sponsored Programs Research Administrator.

### **Job protection**

The University prohibits discrimination and retaliation against an employee faculty member who takes leave pursuant to this Faculty Leave Policy or who otherwise exercises rights provided for by applicable federal or state law.

### **Appendix**

This appendix sets forth provisions relevant to certain types of leave described in the Faculty Leave Policy.

### **PFML (Paid Family and Medical Leaves Law)**

Medical Leave Law (PFML) allows eligible employees of the University to take periods of continuous or intermittent paid leave under the following qualifying events:

- if an employee is unable to work due to their own serious health condition.
- to provide care to a family member, including a child, with a serious health condition.
- to bond with a child during the first 12 months after the child's birth, adoption, or foster care placement (note that intermittent leave is unavailable to faculty for bonding leave, though faculty may choose to use the *Family Leave – Child Bonding/Caregiving* 28 consecutive week (or two semester) leave benefit option).
- for a qualifying exigency arising out of a family member's current membership in the Armed Forces; and
- to care for a family member who is or was a covered service member of the Armed Forces and who requires medical care as a result of an illness or injury related to the family member's active service.

### **Definitions**

- **Child**: A biological, adopted, or foster child, a stepchild or legal ward, a child to whom the employee stands *in loco parentis*, or a person to whom the employee stood *in loco parentis* when the person was a minor child, regardless of age or dependency status.
- **Covered Service Member**: Either (I) a member of the Armed Forces who is (A) undergoing medical treatment, recuperation or therapy; (B) otherwise in outpatient status; or (C) is otherwise on the temporary disability retired list for a serious injury or illness that was incurred, or existed before the beginning of service and was aggravated, in the line of duty on active duty in the Armed Forces; or (ii) a former member of the Armed Forces who is undergoing medical treatment, recuperation or therapy for a serious injury or illness that was incurred, or existed before the beginning of service and was aggravated by and manifested before or after discharge or release from service, in the line of duty on active duty in the Armed Forces.
- **Domestic Partner**: Person not less than 18 years of age who (I) is dependent on the employee for support as shown by either unilateral dependence or mutual interdependence that is evidence by a nexus of factors including, but not limited: (A) common ownership or real or personal property; (B) common householding; (C) children in common; (D) signs of intent to marry; (E) shared budgeting; and (F) the length of the personal relationship with the employee; or (ii) has registered as the domestic partner of the employee with any registry of domestic partnerships maintained by the employer of either party, or in any state, county, city, town or village in the United States.
- **Employee**: Any person employed by the University on a full-time, part-time, temporary, or seasonal basis.
- **Family member**: The spouse, domestic partner, child, parent, or parent of a spouse or domestic partner of the employee; a person who stood *in loco parentis* to the employee when the employee was a minor child; or a grandchild, grandparent or sibling of the employee.

- **Qualifying Exigency:** A need arising out of a covered individual's family member's active duty service or notice of an impending call or order to active duty in the Armed Forces, including, but not limited to, providing for the care or other needs of the military member's child or other family member, making financial or legal arrangements for the military member, attending counseling, attending military events or ceremonies, spending time with the military member during a rest and recuperation leave or following return from deployment or making arrangements following the death of the military member.
- **Serious health condition:** An illness, injury, impairment or physical or mental condition that involves in-patient care in a hospital, hospice or residential medical facility; or continuing treatment by a health care provider. The term serious health condition includes any period of incapacity due to pregnancy or for prenatal care. The term serious health condition does not include cosmetic treatments or substance abuse disorders unless inpatient hospital care is required or unless complications develop.
- **Benefit Year:** The 52-week period beginning on the Sunday immediately preceding the first day that the leave starts.

### **FMLA (Family and Medical leave Act)**

The Family and Medical Leave Act allows eligible employees to take a period of up to 12 weeks in a 12-month period of job-protected leave under the following qualifying events:

- birth or care of a well newborn son or daughter or adoption of a son or daughter less than eighteen (18) years of age (unless a person over eighteen (18) is incapable of self-care) or foster care placement of son or daughter with the employee.
- employee's own serious health condition.
- or care of an employee's spouse, son, daughter, or parent with a serious health condition.

### **Definitions (provided where different from or not provided in PFML)**

- **Family member:** The spouse, son, daughter, or parent of a spouse of the employee (parent includes a person who stood *in loco parentis* to the employee when the employee was a minor son or daughter but excludes in-laws).
- **Serious Injury or Illness:** The covered service member must be undergoing medical treatment, recuperation, or therapy, is otherwise on outpatient status, or is on the temporary disability retired "list" for a serious injury or illness. The serious injury or illness must be one that renders the service member unable to perform the duties of the service member's office, grade, rank, or rating. **Types of Domestic Violence Leave**

An employee may request Domestic Violence Leave for the following reasons: seek or obtain medical attention; counseling, victim services, or legal assistance; secure housing; obtain a protective order from a court; appear in court or before a grand jury; meet with a district attorney or other law enforcement official; or attend child custody proceedings or address other

issues directly related to the abusive behavior against the employee or family member of the employee.

### **How to Request Domestic Violence Leave**

#### *Documentation Needed*

An employee requesting Domestic Violence Leave must provide documentation showing that the employee or employee's family member has been a victim of abusive behavior and that the leave taken is consistent with the domestic violence leave policy. An employee is not required to show evidence of an arrest, conviction, or other law enforcement documentation for such abusive behavior. An employee shall provide such documentation to the University within 15 days after the University requests documentation relative to the employee's absence:

1. A protective order, order of equitable relief or other documentation issued by a court of competent jurisdiction as a result of abusive behavior against the employee or employee's family member.
2. A document under the letterhead of the court, provider or public agency which the employee attended for the purposes of acquiring assistance as it relates to the abusive behavior against the employee or the employee's family member.
3. A police report or statement of a victim or witness provided to police, including a police incident report, documenting the abusive behavior complained of by the employee or the employee's family member.
4. Documentation that the perpetrator of the abusive behavior against the employee or family member of the employee has: admitted to sufficient facts to support a finding of guilt of abusive behavior; or has been convicted of or has been adjudicated a juvenile delinquent by reason of, any offense constituting abusive behavior, and which is related to the abusive behavior that necessitated the leave under this section.
5. Medical documentation of treatment as a result of the abusive behavior complained of by the employee or employee's family member.
6. A sworn statement, signed under the penalties of perjury, provided by a counselor, social worker, health care worker, member of the clergy, shelter worker, legal advocate or other professional who has assisted the employee or the employee's family member in addressing the effects of the abusive behavior.
7. A sworn statement signed under the penalties of perjury, from the employee attesting that the employee has been the victim of abusive behavior or is the family member of a victim of abusive behavior.

All information related to the employee's leave under this section shall be kept confidential by Boston University and shall not be disclosed, except to the extent that disclosure is:

- (i) requested or consented to, in writing, by the employee;
- (ii) ordered to be released by a court of competent jurisdiction;
- (iii) otherwise required by applicable federal or state law;
- (iv) required in the course of an investigation authorized by law enforcement, including, but not limited to, an investigation by the attorney general; or
- (v) necessary to protect the safety of the employee or others employed at the workplace.

### **Faculty Retirement and Emeritus Status**

Under federal law, a faculty member is not required to retire based on the faculty member's age. Ordinarily a faculty member makes the decision to retire, based on personal circumstances. Helpful information for advance planning is available through the Office of Human Resources. Sufficient notice to allow departments to adjust their teaching schedules is expected, unless circumstances beyond the control of the faculty member occur.

Occasionally, for special situations of mutual benefit both to the University and the faculty member, a legally binding retirement agreement is negotiated in which a faculty member gives up a faculty position in return for some other benefit, for example, transitional leave or part-time employment. An example of a corresponding benefit to the University might be the ability to open a new position for needed hiring. Authorization for exploration of such possible agreements is given by the appropriate provost, after consultation with the faculty member's dean and department chair. Since any such arrangement is based on mutual agreement, both the faculty member and the University have the right to indicate disinterest in pursuing such discussions at any point. Such agreements are proposed only for special situations of significant benefit to the University. They are neither expected nor routine.

#### **A. Post-retirement Employment**

Employment after retirement is permitted on an annual basis, generally on a reduced workload. Such employment must be recommended by the appropriate department chair and dean and

approved by the provost. A faculty member employed after retirement may not serve as chair of a department or on policy-making committees of departments, faculties, or other University bodies. A faculty member employed after retirement will be paid a salary commensurate with the faculty member's University assignments.

## **B. Emeritus Status**

Emeritus is a status of honor and esteem at Boston University intended to recognize professors for lifetime contributions to the university, to their field, or to both, upon their retirement. Professorial faculty, with or without tenure or modified titles, are eligible for this consideration. The granting of Emeritus status is first voted upon by the faculty of the department, or by the appropriate unit for faculty appointments and promotions in schools or colleges without departments. The outcome of that vote is transmitted to the Dean, who is authorized to grant the change in status. Emeritus faculty retain the academic rank held at the time of retirement, modified by the incorporation of the Emeritus or Emerita designation. If applicable, this title includes the modifiers "Clinical," "Research," or "of the Practice," however, honorific titles, including named professorships, are not incorporated into the Emeritus designation. Emeritus status is not awarded posthumously and a faculty member who retires from Boston University to assume a professorship at another university is also normally not eligible for consideration for Emeritus status.

While Emeritus faculty members may continue their productive life within the University, the basis of such continued participation shall be determined by each School and College through its faculty and Dean. An Emeritus faculty member may not serve as chair of a department or as a member of a policy-making committee. Emeritus faculty members may be employed by the University at a rate of compensation appropriate to the assigned responsibilities.

Deans, upon stepping down from the decanal role after serving with distinction, may be granted the title "Dean Emeritus" or "Dean Emerita," following a positive vote of the full-time faculty of the school or college, and approval by the Provost.



## **Discontinuation Policy for Departments and Programs, and Consequent Faculty Terminations**

The discontinuation of a department or program with significant consequences for faculty members, as well as present and prospective students, may be required by budgetary factors, changing student interests and needs, or other causes. In order to assure, as fully as possible, a fair accommodation of institutional and individual interests, the following policies, guidelines, and procedures have been adopted by Boston University.

### **A. Application of policy**

This Policy applies to proposed department or academic program discontinuation that would result in termination of employment for faculty members who hold primary appointments in these departments or programs and who are tenured or have contracts that extend beyond the effective date of the discontinuation.

This procedure does not apply when such discontinuation is timed to occur at the expiration of the current faculty members' contracts, or when all faculty members affected by a department or academic program discontinuation retain primary appointments within continuing departments or academic programs.

### **B. Types of Program Discontinuations**

Discontinuation of a department or program may occur for one of two reasons:

1. Academic and/or financial factors necessary for optimizing the quality of programs or operational efficiency of a particular School or College.
2. A University-wide financial exigency in which the discontinuation is part of a comprehensive plan for dealing with the situation.

## C. Discontinuation in Order to Optimize Quality of Programs or Operations Efficiency of School or College

### **1. The Process Year:**

This Policy is designed to allow adequate consultation and a decision by the President, normally within one academic year (the “Process Year”). Although all of the steps in this Policy are required in the specified order, the scheduling of the steps may be altered with permission of the appropriate Provost. In addition, the Dean may withdraw the proposal from consideration at any time.

### **2. Before the Process Year Begins in September:**

The Dean shall consult with the appropriate Provost as soon as a department or program closure is contemplated. The Dean shall also consult with faculty members who would be affected by the discontinuation as early as possible. The Dean shall then draft a Discontinuation Proposal and circulate it among the affected faculty members for discussion and feedback. The Discontinuation Proposal shall include:

- a. a rationale for the proposed discontinuation, including a discussion of the academic and financial impact of the proposed closure on the School or College, on units of the University outside the School or College, and on the University as a whole.
- b. a record of consultation with affected faculty; and
- c. a Management Plan as detailed below covering current faculty, students, and staff as well as prospective students.

### **3. September 30 of Process Year:**

Deadline for written feedback from affected faculty members to allow revisions before the October 10 deadline for submission to the School or College faculty.

#### **4. October of Process Year:**

Faculty members of the School or College receive the Discontinuation Proposal by October 10. The Dean should meet with the School or College faculty at least once in October to discuss the Proposal. The School or College faculty members may provide written feedback to the Dean or to the Chair of the University Council Committee on Undergraduate Academic Policies and Programs (UAPP) and/or to the Chair of the University Council Committee on Graduate Academic Policies and Programs (GAPP), depending on the scope of the Program or Department under consideration for discontinuation. The UAPP and GAPP chairs will provide feedback to the Dean after redacting a faculty member's identifying information. All written comments submitted to the Dean become part of the material that is presented to the respective UC committees (UAPP or GAPP) for their consideration.

#### **5. November and December of Process Year:**

- a. the Dean presents the proposal and any written comments to the University Council UAPP or GAPP committees for discussion and comment; these committees will meet in joint session if both undergraduate and graduate programs would be affected by the program or department discontinuation.
- b. the Dean presents the Proposal to the Faculty Council and the Council of Deans for discussion and comment.
- c. the University Council UAPP and/or GAPP Chair presents the Proposal to the Faculty Council for discussion and comment; and
- d. faculty members whose jobs would be eliminated by the proposed discontinuation have the opportunity to address the Faculty Council or a subset of the Council.

#### **6. Spring Term of Process Year:**

The Dean presents the proposal at the first regularly scheduled University Council meeting of the Spring term. Before the end of the Spring term, the University Council will vote on whether to recommend approval of the Proposal to the President. The President will then decide whether to approve the Proposal and discontinue the academic program or department.

### **7. Post Continuation Employment:**

If, after the above process is completed, the President decides to discontinue a department or academic program, employment for department or program faculty members with continuing appointment or tenure will be continued for at least one academic year following the President's decision.

### **8. Management Plan:**

A discontinuation proposal must include a management plan that addresses the following:

a. Faculty: A plan must be developed for those faculty members whose tenure will be lost if a program is discontinued, as well as for faculty members whose contracts extend beyond the terminal year after program discontinuation. This plan should include assistance with finding another academic position within Boston University, or at another institution, or a transition to retirement. Although the Faculty Handbook cannot specify the form such assistance should take or guarantee a successful outcome, the Dean and the affected faculty members should begin this effort early in the process.

b. Current Students: The accommodation of current students must be part of the management plan. The plan should provide appropriate time constraints for completion of the program of study, or for assisting students to transfer to another appropriate department or program within the University or elsewhere.

c. Staff: Plans for treatment of current staff must be coordinated with Human Resources in accordance with existing University policies governing termination of staff employment in connection with position elimination.

d. Prospective Students: Once the Proposal has been sent to the faculty of the School or College, potential applicants to the department or program must be informed that a Discontinuation Proposal has been made, and that admission to the department or program is closed pending the outcome of the review process. The time and manner of providing that information will vary and must be part of the Dean's Proposal.

#### **D. Discontinuation Due to University-Wide Financial Exigency**

If the program discontinuation is part of a University-wide financial exigency in which the discontinuation is part of a comprehensive plan for dealing with the situation, the President, Provost, and/or Dean shall notify the interested parties, including affected faculty members, the University Council Committees on Undergraduate and/or Graduate Academic Programs and Policies as applicable, and the Faculty Council, as soon as possible. In addition, to the extent possible, the decision shall address the considerations relating to current faculty, students, and staff.

Sabbaticals and Leaves of Absence including Junior Scholar leave

##### **A. Sabbatical Leave**

Cavalla International University grants sabbatical leaves for the purpose of encouraging faculty members to engage in scholarly research or other activities leading to professional growth and an increased capacity for service to the University. After each period of at least 12 full semesters of full-time service at Boston University, faculty members with Standard Professional Titles

(regardless of tenure status) may be considered for a sabbatical leave consisting of one-half academic year at full salary or one full academic year at half salary.

- Any semester that includes a paid or unpaid leave, Workload Reduction for Primary Caregivers, sabbatical leave, or Junior Scholar Leave does not constitute full-time service to the University and does not count towards the minimum of 12 full semesters of full-time service required for sabbatical eligibility.
- Faculty members are not eligible for sabbatical leave during the final year of their tenure review process, or during a terminal appointment year following tenure denial. In the event that tenure is granted, however, the tenure review year will be credited towards the length of service required before consideration for the next sabbatical.

A faculty member on sabbatical leave retains all employee benefits during the leave period.

In order to make sabbatical leave possible, responsibilities within the department will be adjusted to take account of the faculty member's absence. If, in the opinion of the chair and the dean, such adjustment is not possible, the sabbatical will be denied for that year. In the event that sabbatical is thereafter granted, the year or years of denial on the basis of departmental needs will be credited toward eligibility for the subsequent sabbatical. The dean shall report this decision to the candidate. Denial on this basis may not occur for more than two consecutive years.

The faculty member's application for sabbatical leave shall contain a proposed plan for scholarly work or other activity leading to professional growth, as well as a proposal, whenever appropriate, for obtaining outside funding. The faculty member shall submit an application to the department chair, who shall review its merits, consult with the appropriate departmental faculty, and inform the faculty member of the chair's recommendation. The application, along with the recommendation of the department chair, will be forwarded to the dean. The dean shall review the merits of the application and, after consultation with the chair, inform the faculty member of the dean's decision to approve or deny the sabbatical leave. Faculty taking sabbatical leaves must agree to return to full-time service for at least one year.

## **B. Junior Scholar Leave**

Tenure-track Assistant Professors (or Associate Professors in the Law School) who have undergone a formal mid-tenure review and are deemed to be making good progress towards achieving tenure, are eligible to apply to the dean of the school or college for one semester of paid Junior Scholar Leave to concentrate solely on scholarly and/or creative work in the final years before tenure review. The leave will be granted if, in the dean's estimation, it is likely to strengthen the candidate's overall application for tenure at Cavalla International University.

*Requirements:*

- **Prior Service:** the faculty member must have completed at least 6 full semesters of full-time service by the time the requested Junior Scholar Leave would begin.
- **Successful Mid-Tenure Review:** the faculty member must have been appointed through the tenure review year following a formal mid-tenure review process in the school or college.
- **Timing:** Junior Scholar Leave must be completed prior to September of the academic year in which the tenure decision will be made. The semester chosen for the leave should be mutually agreed upon by the faculty member and the faculty member's chair or dean to maximize utility for the faculty member.
- **Duration:** Junior Scholar Leave must be completed in a single semester. It cannot be split between two semesters or used to provide partial salary support for two semesters.
- **Return:** A faculty member who takes a Junior Scholar Leave must agree to return to full-time service for at least one year.

*Interaction with other leaves and opportunities to reduce teaching:*

- If a faculty member has been granted a semester or more at full pay with no teaching duties as part of the employment contract, the faculty member is not eligible to apply for Junior Scholar Leave.
- A faculty member who has been granted a teaching reduction at full pay as a result of an internal or external grant, contract, fellowship, or career development professorship remains eligible to apply for Junior Scholar Leave. However, the dean may deny the application if the dean is concerned that an additional semester out of the classroom might prevent the faculty member from demonstrating the teaching excellence required for a positive tenure decision.
- Prior Childbirth Leave, Medical Leave, or Primary Caregiver Workload Reduction do not prevent a faculty member from applying for Junior Scholar Leave, although such semesters do not accrue towards the 6 full semesters of full-time service required for eligibility to apply for Junior Scholar Leave.
- Subsequent Sabbaticals: a semester of Junior Scholar Leave does not accrue towards the service requirement for eligibility to apply for a standard sabbatical leave. However, all

semesters of full-time service prior to and following Junior Scholar Leave do accrue towards those semesters required for sabbatical eligibility.

## **Ethics**

### **Academics Freedom**

Academic freedom is essential in institutions of higher education if they are to make their proper contribution to the common good. The common good depends upon the free search for truth and its free exposition. It is that which justifies academic freedom, not the interest of the individual faculty member or even the interest of a particular university.

Academic freedom is the freedom to engage in research, scholarship, or other creative work in order to expand knowledge, to publish research findings, to teach and to learn in an atmosphere of unfettered free inquiry and exposition.

The rights of the faculty member and the student to academic freedom, however, carry with them duties and responsibilities. The faculty member is entitled to full freedom to engage in research, scholarship, and creative work and to publish or produce the results, subject to responsible performance of these and other academic duties. The faculty member is likewise entitled to freedom in teaching and discussing the subject matter. Yet, as in research, the concomitant of this freedom must be a commitment to accuracy and integrity. Controversy is a normal aspect of free academic inquiry and teaching, and it is proper to incorporate both the knowledge and the



beliefs of the faculty member into that which is taught; however, the freedom to teach must be joined by a constant effort to distinguish between knowledge and belief.

The University faculty member is a citizen, a member of a learned profession, and an officer of an educational institution. When the faculty member speaks or writes as a citizen, he or she should be free from institutional censorship or discipline, but the faculty member's special position in the community imposes special obligations. As a person of learning and an educator, a faculty member should remember that the public may judge the profession and institution by the faculty member's utterances. Hence the faculty member should be at all times accurate, should exercise appropriate restraint, should show respect for the opinions of others, and should make every effort to indicate that the faculty member is not speaking for the institution.

## **Ethics**

### **Conflict of Interest Policy**

Responsible Offices, Compliance Services and Office of the General Counsel

#### **1. Purpose and Scope**

Trustees, officers, employees, and other representatives of Cavalla International University serve the public and are required to fulfill their responsibilities with care and loyalty. Pursuant to the University's Code of Ethical Conduct all decisions and actions of the board and the administration are to be made for the sole purpose of advancing the best interests of the institution and the public good. The integrity of Cavalla International University must be protected at all times, and the fiduciary relationship of trustees, officers, employees, and other representatives to Boston University must be respected in both actuality and appearance.

To carry out these responsibilities, Cavalla International University trustees, officers, employees, and other representatives have an ethical duty to ensure that their direct or indirect personal interests are not inconsistent with or interfere in any way with the best interests of the University.

The purpose of this Policy is to identify the type of conflicts and relationships that require reporting to Cavalla International University and to set forth the procedures for reporting

such conflicts so that they may be reviewed, approved, managed, and monitored appropriately.

The Scope of this Policy generally includes conflicts that may arise from *Business or Financial Relationships*, *Investment Relationships*, *Employment Relationships*, and *Service to Other Organizations*. Section VIII of this Policy identifies other University processes governing the reporting of conflicts arising in the context of research and faculty duties.

## **II. Authority**

This Policy was approved by the Audit Committee of the Board of Trustees in order to establish the highest possible ethical standards for the University and to affirm that University's commitment to integrity and maintaining the trust and confidence of both the University community and the public.

## **III. Covered Parties**

This Policy applies to all *Covered Parties*, which includes all Cavalla International University trustees, trustees emeriti, University Advisory Board (UAB) members, Officers, non-Officer employees, as well as other representatives, including those who have been given access to proprietary University information that could potentially be used for personal benefit, to benefit a University vendor, potential vendor, or a competitor of a vendor. For purposes of this policy, the term *Officers* refers to the president, vice presidents, provosts, and deans.

## **IV. Defined Terms**

### ***Conflict of Interest***

A Conflict of Interest exists when a Covered Party's direct or indirect personal interests are inconsistent with or interfere in any way with the best interests of the University. Such Conflicts may arise out of (but are not limited to):

- - Business or Financial Relationships between the University and a Covered Party or a Covered Party's Immediate Family; or between the University and an entity with which a Covered Party or Covered Party's Immediate Family is affiliated;
  - Investment Relationships involving trustees or Officers;
  - Employment Relationships between the University and Immediate Family Members of a Covered Party; or

- Service to another organization at the request of the University where that organization provides compensation to a Covered Party.

### ***Business or Financial Relationship***

A Business or Financial Relationship includes the sale or acquisition of goods, property, or services; or the commitment of resources to a common venture. It does not include attending Boston University as a student.

### ***Investment Relationship***

An Investment Relationship means knowingly directly investing in any Investment Vehicle in which the University, or a trustee, officer, or a member of his or her Immediate Family has a Material Financial Interest.

### ***Employment Relationship***

Employment by the University of an Immediate Family Member of a Covered Party.

### ***Immediate Family***

Immediate Family means (1) a spouse; (2) a child, grandchild, parent, grandparent, sibling, uncle, aunt, nephew, or niece, or the spouse of any such person; (3) a person having a step-relationship described in (2) above; (4) a parent-in-law or a brother- or sister-in-law; or (5) any other person who resides in the same household as the trustee, officer, or employee.

### ***Investment Vehicle***

An Investment Vehicle means a business, investment fund, limited partnership, separate account, commingled account, mutual fund, or other vehicle meant for investment purposes.

### ***Material Financial Interest***

A Material Financial Interest means a role as general or managing partner, management-level employee, owner or sponsor of the investment firm, or an ownership interest of greater than 5% in an Investment Vehicle.

### ***Organizations Served***

Organizations Served means service in another organization as a director, officer, employee or other agent at the University's request or as the University's designated representative. It does not include organizations in which a Covered Party serves in such roles in their personal capacity.

### ***Selected Employee***

Selected Employees are those Faculty and Staff members who are required to complete Conflict of Interest Disclosure Forms during the University's annual disclosure process. A faculty or staff member's designation as a Selected Employee is determined by the Compliance Subcommittee based on a faculty or staff member's job title, classification, duties, and supervisory and procurement authority. The designation is reviewed on an annual basis.

### ***Significant Interest***

A Significant Interest means an interest in another entity that includes service as a trustee, director, partner, or management-level employee; the actual or beneficial ownership of more than 5% of the entity; or a compensation arrangement with another entity that is dependent upon its business or financial relationship with the University.

## **V. Policy**

Through this policy, the Board of Trustees intends to implement the highest possible ethical standards and to establish that the University will not tolerate violations of this Conflict of Interest Policy. The Board, through its Audit Committee, will administer this policy strictly, with complete transparency, and in accordance with the following principles:

### **A. Types of Conflicts**

#### **1. Business or Financial Relationship Conflicts**

- a. In general, and except as permitted under this policy, the University will not engage in Business or Financial Relationships with trustees or Officers.
- b. The University will not be permitted to enter into a Business or Financial Relationship with a trustee or Officer, or a member of his or her Immediate Family, or any entity in which a trustee or Officer or a member of his or her Immediate Family has a Significant Interest, unless the proposed relationship has been thoroughly reviewed and considered by the Audit Committee and has been found to be of clear benefit to the University.
- c. Any proposed Business or Financial Relationship between the University and a UAB member or trustee emeriti or a member of his or her Immediate Family, or any entity in which the UAB member or trustee emeriti or a member of his or her Immediate Family has a Significant Interest, is subject to the prior review and approval of the President.

d. Any proposed Business or Financial Relationship between the University and a non-Officer employee or other representative, or a member of his or her Immediate Family, or any entity in which the employee or other representative or a member of his or her Immediate Family has a Significant Interest, is subject to the prior review and approval of the Compliance Committee as described in Section VI. B.3 below or the Committee's designee.

## **2. Investment Relationship Conflicts**

a. No trustee or Officer, or a member of his or her Immediate Family may knowingly directly invest in any Investment Vehicle in which the University has a Material Financial Interest.

b. The University will not knowingly directly invest in an Investment Vehicle in which a trustee or Officer, or a member of his or her Immediate Family, has a Material Financial Interest, except with the prior approval of the Audit Committee.

## **3. Employment Relation Relationship Conflicts**

Any offer of full-time employment to a member of the Immediate Family of a trustee or Officer, or a Selected Employee or other representative, is subject to the prior review and approval of the President or the President's designee.

## **4. Organizations Served**

Covered Parties who serve at the University's request or as the University's representative as a director, officer, employee, or other agent of another organization shall turn over to the University any compensation received from such other organization for such service.

## **5. Other Relationships or Interests**

The foregoing conflicts are not intended to be exclusive; other relationships or interests that might conflict with the best interests of the University should also be disclosed for review.

## **B. Disclosure of Potential Conflicts**

Effective implementation of this policy requires the full disclosure of individual interests that might conflict with the best interests of the University. Covered Parties are therefore required to disclose actual or potential Business or Financial Relationships, Investment Relationships, Employment Relationships, and Organizations Served in accordance with Section VI of this Policy using the Online portal and database (“COI Portal”) or through the Form available through this Policy.

All other relationships and interests that are outside the scope of this Policy, but that might conflict with the best interests of the University, including the appearance of a conflict, should be disclosed to the University through one of the other conflict processes at the University as outlined in Section VIII.

## **C. Restraint on Participation**

All Covered Parties who have disclosed a potential Conflict of Interest shall refrain from participating in the University’s consideration of any proposed business or financial relationship in which they are interested, except to respond to questions or to provide further information.

If a transaction or relationship requires a vote, the interested party should not be present at the time of the vote, and may be asked not to be present during discussions about the transaction or relationship.

## **D. Approval of Transactions or Relationships that Give Rise to Potential Conflicts**

For each reported conflict that falls under this Policy, an independent review must be conducted to determine if the transaction or relationship is in the best interest of the University such that it should be entered into or continued. This determination is made using the processes set forth in Section VI of this policy.

# **VI. Procedures for Disclosure and Review**

## **A. Trustees, Officers, University Advisory Board members, and Trustees Emeriti**

## **1. Advance Disclosure**

Trustees, Officers, UAB members, and trustees emeriti must provide advance written disclosure of any proposed Business or Financial Relationship or Investment Relationship they or members of their Immediate Family have or propose to have with University, either directly or through another entity in which they have a Significant Interest, to the General Counsel and Chairman of the Audit Committee using a Conflict of Interest Disclosure Form. If a trustee or Officer is uncertain whether to disclose a particular business or financial relationship, the General Counsel or Chairman of the Audit Committee should be consulted. An amended form must be filed promptly in the event of a material change in circumstances.

## **2. Annual Disclosure Process**

Trustees, Officers, UAB members, and trustees emeriti must complete and return the Conflict of Interest Disclosure Form distributed annually by the University to either confirm an ongoing Business or Financial Relationship, Investment Relationship or Employment Relationship or indicate the absence of any such relationship.

## **3. Review and Approvals of Business or Financial Relationships**

Any new potential conflicts involving trustees or Officers will be presented by the General Counsel to the Audit Committee for review as they arise and any approval of such relationships by the Committee shall be recorded. In the event that a quorum of the Audit Committee is unavailable and immediate action is required, the chair of the Committee may take such action as may be necessary or appropriate under the circumstances. The chair shall report any such action to the Audit Committee as soon as practicable, but no later than its next meeting.

Any new potential conflicts involving UAB members or trustees emeriti will be presented by the General Counsel to the President for review as they arise and any approval of such relationships by the President shall be recorded.

In addition, the Audit Committee will perform an annual review of all ongoing business or financial relationships involving trustees, trustees emeriti and UAB members to determine whether such relationships should continue. The outcome of the review shall be documented in a written report of the Audit Committee agreed to by the Chairman and a majority of the Committee (inclusive of the Chairman), and made available to the Board of Trustees.

## **B. Other Covered Parties**

### **1. Advance Disclosure**

Any time a potential Conflict of Interest arises, non-Officer employees and representatives are required to disclose that conflict to the Compliance Services Office (CSO) using a Conflict of Interest Disclosure Form. If a non-Officer employee or representative is uncertain whether to disclose a particular Business or Financial Relationship, the Associate Vice President for Compliance Services should be consulted. For previously reported conflicts, an amended form must be filed promptly in the event of a material change in circumstances.

### **2. Annual Disclosure Process**

Selected Employees as well as any employees who have previously disclosed a potential Conflict of Interest are required to complete and return through the COI portal Conflict of Interest Disclosure Form that is distributed annually by the University to either confirm an ongoing Business or Financial Relationship conflict, Employment Relationship conflicts, or Organization Served or indicate the absence of such relationships or service.

### **3. Review and Approvals**

The Compliance Committee, generally acting through the Compliance Subcommittee, will determine whether a business or financial relationship involving a non-Officer employee or other representative should be entered into or continued. The Compliance Committee shall provide such reports as may be requested by the Audit Committee and may request advice or direction from the Audit Committee.

## **C. Reporting through Sourcing and Procurement**

### **1. Reporting**

The Sourcing Conflict of Interest Process identifies potential or existing Business or Financial Relationships through disclosures by vendors in the vendor registration system as required under the Supplier Code of Ethical Conduct or when an office, department, or employee contacts Sourcing and Procurement or Compliance Services regarding a vendor conflict requiring review.



## **2. Approvals**

Business or Financial Relationship conflicts identified through Sourcing and Procurement are reviewed by the Compliance Subcommittee. If the proposed vendor relationship is allowed to proceed, the Compliance Subcommittee may designate a conflict monitor to oversee any ongoing relationship between the University and the vendor.

## **VII. Responsible Parties**

### **A.. Board of Trustees**

The Board of Trustees, through its Audit Committee, has general oversight regarding compliance with this Policy and reviews and approves conflict disclosures involving trustees, Officers, UAB members, and trustees emeriti.

### **B. Compliance Committee**

A Compliance Committee oversees and approves activities as outlined in this Policy in connection with its administration of the Code of Ethical Conduct. The Committee consists of the University Provost; the Senior Vice President, General Counsel, and Secretary of the Board of Trustees; the Senior Vice President, CFO, and Treasurer; the Senior Vice President for Operations; the Associate Vice President for Internal Audit, the Associate Vice President for Compliance; and the Chief Human Resources Officer and such other members as may be appointed by the President. The Compliance Committee reports to and is subject to the oversight of the Audit Committee.

The Compliance Subcommittee, a subset of the Compliance Committee, consists of the Senior Vice President, General Counsel, and Secretary of the Board of Trustees; the Associate Vice President for Internal Audit; the Associate Vice President for Compliance; and the Chief Human Resources Officer. The Subcommittee is responsible for conducting review of conflicts involving non-Officer employees and representatives.

### **C. Compliance Services Office**

The Compliance Services Office (CSO) is responsible for overseeing implementation of and ensuring compliance with this policy, including facilitating the annual Conflict of Interest disclosure process and the Sourcing Conflict of Interest process. The CSO is also responsible for maintaining the records pertaining to Conflict of Interest reporting, oversight, and management.

## **D. Office of the General Counsel**

The Senior Vice President, General Counsel, and Secretary of the Board of Trustees receives information on conflicts involving trustees, Officers, UAB members, and trustees emeriti to present to the President and/or Audit Committee for review and approval.

## **VIII. Related Policies and References**

Employee relationships and interests that are outside the scope of this Policy, but that might conflict with the best interests of the University, including the appearance of a conflict, should be disclosed to the University either through one of the other conflict processes at the University as outlined below and described here or to a direct supervisor or to the Compliance Services Office in the absence of an applicable Policy or process:

## **D. Academic Collaborations with Industry**

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Note that Business or Financial Relationships and Investment Relationships arising from academic collaborations with industry should be reported through the Disclosure and Authorization Form, which specifies the approval required to move forward with the proposed transaction. University personnel who approve academic collaborations with industry should consult with the Compliance Subcommittee about any proposed transactions of concern, and provide all approved DARFs to the CSO.

### **Copyright Policy**

Cavalla International University respects the rights of authors and publishers under the Copyright Law. In 1991, the University established a policy intended to ensure that faculty members seeking to reproduce copyrighted material for their students did not infringe copyrights. As part of this policy, the University does not accept copyrighted course materials for reproduction or sale

A faculty member who makes use of a copy service to reproduce, without permission, copyrighted materials for use in Cavalla International University courses does so in explicit violation of University policy and will be subject to both legal liabilities and appropriate disciplinary action. The University does not approve of faculty members using outside copy centers to reproduce copyrighted materials for use in Cavalla International University courses

regardless of whether these centers offer their own copyright clearance services or accept the assurances of customers that appropriate clearances have been obtained. Faculty members who violate this provision of the University copyright policy will receive no legal assistance from the University in the event of a dispute with a publisher or author.

## **Conflict to Commitment Policy**

### **Purpose**

Cavalla International faculty member's primary professional commitment of time and intellectual energy is to teaching, research (including creative work), and service to the University. The specific responsibilities comprising this commitment may vary among schools and colleges, and should be based on a shared understanding between the faculty member and the relevant unit head.

“External Professional Activity” means activities engaged in by faculty outside of Cavalla International University that utilize the expertise or knowledge the faculty member has developed or is developing in carrying out their University responsibilities in teaching, research or service. The University recognizes that External Professional Activity is beneficial if it furthers a faculty member's ongoing professional development and enhances their teaching and research capabilities as well as their reputation and that of the University. However, a conflict can arise when a faculty member's External Professional Activity conflicts with their commitment to the University as, for example, by compromising the amount or quality of their participation in the instructional, scholarly, or administrative work of the University or otherwise affecting (or appearing to affect) their judgment in carrying out University responsibilities.

The purpose of this policy is to assist faculty members in avoiding conflicts of commitment by clarifying the responsibilities of the faculty member and the expectations of the University with respect to External Professional Activity. While this policy applies to the entire University, individual schools or colleges may wish to develop more specific guidelines to take into account their particular circumstances.

## **Covered Parties**

Except as otherwise indicated, this policy applies to all salaried faculty members.

## **Permitted Time Commitment for External Professional Activity**

External Professional Activity is generally limited to 20% of the faculty member's total professional effort during their contract year. Faculty members must ensure that External Professional Activities do not prevent them from fulfilling their primary responsibilities. External Professional Activity that results in the neglect of contacts with students or that creates an undue burden for colleagues is by definition inappropriate.

The time limitations in this section do not apply during unpaid periods, such as the remaining three months for faculty on nine-month appointments or during unpaid leave.

In addition, certain types of External Professional Activities must be approved in advance as described in Section VI below, even if they fall within this time commitment.

## **Use of University Resources and Consulting**

Faculty may not use University resources (including but not limited to funds, facilities, and equipment), personnel (including students and University employees), confidential information, or indicators of University endorsement in connection with External Professional Activities except in a purely incidental way. This does not preclude faculty from identifying Boston University as their employer in reports, publications, or presentations.

When entering into consulting agreements, faculty should make clear to the outside entity that their primary duty is to Cavalla International University and their participation is subject to the University's policies on intellectual property. Agreements that impose restrictions on the freedom to publish University-based work are not permitted. Faculty consulting with external organizations must make clear that they are acting in their individual capacity and not on behalf of Cavalla International University.

## **Prohibited Activities**

Faculty members who have full-time appointments at Cavalla International University are prohibited from holding a full-time or part-time tenured or tenure-track position at another educational institution, or any position which would be considered a permanent or primary position or constitute more than 20% time at the other institution. Examples include, but are not limited to, a full-time faculty appointment, which includes teaching and/or research duties at the second institution or an administrative appointment as a dean at the second institution. This prohibition applies even if the faculty member is on leave status from the University, regardless of the type or status of the leave and whether paid or unpaid. Limited exceptions to this rule, e.g. service to National Science Foundation, require prior approval by the Dean and the Provost and normally have a three-year term limit.

### **Activities that Must Be Approved in Advance**

Regardless of the faculty member's time commitment, the following activities require prior written approval.

#### **Prior Written Approval by the Dean or Dean's Designee:**

- 1. External Teaching or Course Development**

Faculty members are not permitted to teach at other institutions without prior written approval. This policy applies equally to courses taught interactively, via the Internet LMS, or by some other method of electronic transmittal. This requirement for pre-approval does not apply to participation in single guest lectures, seminars, or workshops as an invited speaker. When there is any question as to whether an outside engagement falls within the range of allowable activities, a faculty member should first consult with their department chair or dean. A faculty member may not develop a course or substantial parts of a course, or develop courseware, for any entity other than Cavalla International University without prior written approval.

- 2. Compensated Appointments at Other Educational Institutions**

For those appointments not prohibited by Section V above, a faculty member shall not hold any other type of compensated appointment at any other educational institution without prior written approval.

- 3. Certain Activities with Outside Entities**

- Any work that includes managerial or executive responsibilities in a private or public entity or assumption of a board position in a for-profit company requires prior written approval.
  - Activities that involve restricted University Information require prior written approval.
4. **External Professional Activities Involving CIU Students**  
External Professional Activities which directly or indirectly involve CIU students in anything other than their normal academic pursuits require prior written approval.

**Approval Through Other University Processes:**

1. **Consulting for Research Sponsor**  
Service as a consultant to a firm which in turn sponsors the faculty member's work or related work at the University must be approved through the University's Investigator Financial Conflict of Interest Policy for Research
2. **Commercial Activity Involving Non-CIU Parties**  
Service to a firm founded by a faculty member or in which the faculty member has a significant financial interest must be approved through the Disclosure and Approval Request Form Process.
3. **Conflict of Interest**  
Business, financial, or family relationships that might enable (or appear to enable) the faculty member to influence the University's dealings with an outside organizations or potential University hires in ways leading to personal gain or other conflicts of interest must be approved through the University's general Conflict of Interest Policy.
4. **Reporting**  
Every faculty member must submit annually the External & International Activity Report (EIAR) to their dean which should include any pre-approved activities. After reviewing the report, the dean or dean's designee will seek to resolve with the faculty member any concerns about the faculty member's activities or refer the concerns to the appropriate provost if a resolution cannot be achieved.

**Appeal of Decision by Dean or Associate Provost for Research**

In the event that permission to engage in a particular type of External Professional Activity is denied, the faculty member may appeal that decision to the University Provost or the Provost's designee.

## Digital Course at CIU

The University recognizes that accelerating development and deployment of digital learning technologies makes possible new approaches to teaching our traditional residential students and opens opportunities to reach new cohorts of nontraditional students. These students may interact with the University exclusively and, in some cases, asynchronously, through digital means. The development and adoption of sophisticated digital learning materials requires the use of significant University resources as well as substantial time and effort by the faculty. In adopting this policy, the University seeks to promote the creation of digital learning materials for the public good and to affirm the traditional rights of faculty to their writings and other scholarly and creative works and the University's ownership and control of its digital educational offerings.

### Policy:

1. **Ownership of Academic Content.** The University's digital learning materials will incorporate Faculty Content and, in many cases, also incorporate Third-Party Content. In keeping with the tradition in higher education that academic works such as articles, lectures, visual materials, and other teaching materials are owned by the faculty member authoring them, rather than the employing educational institution, the copyright to Faculty Content under this policy shall be owned by the faculty author. Third-party Content selected by faculty for inclusion in a University Course may be incorporated by license to the University from the content owner.
2. **Ownership of Digital Delivery Infrastructure.** University Digital Courses will be delivered through or otherwise incorporate Digital Delivery Infrastructure, at times in combination with third-party software or delivery platforms. Such Infrastructure shall be owned by the University or, as needed, used by agreement with third-party owners.
3. **Ownership of University Digital Courses.** University Digital Courses will normally include University-owned Digital Delivery Infrastructure, as well as content owned by others, such as the Faculty Content, and in most cases Third-Party Content of various kinds. University Digital Courses will bear a Trustees of Boston University copyright and the University will own the University Digital Course itself, as a whole, subject to licenses from faculty and third-party content owners.
4. **Development or Teaching of Courses for Other Entities.** As is set forth in the University's External Professional Activity Policy, a faculty member may only design, develop or teach a course for another entity if it does not compete or conflict with current Boston University digital learning or online initiatives. In this context, the use of the faculty member's voice or video image shall be deemed to constitute the teaching of a

course. In the event that no current conflict exists, Boston University has the right of first refusal. [Please refer the [External Professional Activity Policy](#) regarding the process for appropriate approval.]

5. **Future Delivery and Revision of University Digital Courses.** After a faculty member's first offering of a University Digital Course, the faculty member will be given an opportunity to review and revise the Course before it is offered again by the University. The University may continue to offer a course after a faculty member has left the University. The faculty member will retain the right to select, edit, update or remove University Digital Course academic content for pedagogical reasons.
6. **Distribution of Revenue Generated by University Digital Courses.** The formula for distribution of potential revenue from the use of a University Digital Course will be negotiated between the faculty member and the University at the time the University contracts with the faculty member to develop the course.

## **Gift Policy**

Cavalla International University solicits and receives donations to further its mission of education, research, public service, and economic development. The President accepts all gifts on behalf of the Trustees of Cavalla International University and has delegated that authority and responsibility to the Office of Development and Alumni Relations. No gift may be accepted under terms which require prohibited discrimination or are in conflict with federal or state law or University policies.

## **Intellectual Property Policy**

### **1. Purpose**

In the course of research, scholarship, education, and other activities, Cavalla International University faculty, staff, and students create patentable inventions, copyrightable works, and other forms of intellectual property that merit legal protection and have financial as well as scientific and scholarly value. The University seeks purposeful translation of such intellectual property to societal good whenever possible. The University is committed to timely assessment of legal protection and potential societal benefit of University intellectual property and to sharing equitably the rights and royalties resulting from intellectual property licensing.



The purpose of this policy is to define the rights and responsibilities of the University and its faculty, staff, and students with respect to ownership and administration of intellectual property.

## **II. Covered parties**

This policy applies to all University faculty, staff, and students and relates to all forms of intellectual property subject to legal protection in the United States and/or internationally.

## **IV. General Policy**

### **A. Ownership**

1. Intellectual property created by faculty or staff, or by students working on University research or other University projects, is owned by the University if it is created either:

(a) within the scope of University employment, including work under University grants and contracts with third parties; or

(b) with significant use of Cavalla International University Resources.

2. If the intellectual property is created outside the scope of University employment and without any significant use of Cavalla International University Resources, the individual will own the intellectual property.

### **B. Application of Policy to Specific Circumstances**

1. Ownership of an invention shall be determined by reference to the date of invention and to principles of inventorship which, in turn, shall be determined according to United States law.

2. The University recognizes and affirms the tradition in higher education that academic works such as books and articles, lectures, syllabi, visual materials, and other teaching materials are owned by the faculty member authoring them rather than the employing educational institution. In keeping with that tradition, the University waives its ownership rights in those academic copyrightable works, except under circumstances in which those academic copyrightable works were specifically assigned and funded by the University (as provided in Section B.6, below), developed with significant use of Boston University Resources (as provided in Section A.1(b)), or developed under an externally funded agreement with the University (as provided in Section B.7, below). Faculty ownership of such academic works may, however, be affected by the terms

of agreements with third-party sponsors, or by agreements between faculty and the University with respect to special projects such as the creation of online courses or other digital education offerings as described below. Use of such academic works is otherwise subject to the University's Conflict of Interest of commitment Policy and Policy on Faculty Involvement in University Digital Courses.

3. Where faculty academic works covered in Section B.2 above are incorporated into educational resources designed for ongoing departmental classroom use in a particular school or college (such as syllabi maintained by the Graduate School), the University shall have a perpetual, nonexclusive, royalty-free license to use such academic works for such purposes.

4. If intellectual property is made by a student as part of student coursework at the University, the rights to that intellectual property are ordinarily owned by the student in accordance with Section A.2 above. The University will retain ownership when intellectual property arises from the student's participation in sponsored work under Section A.1 above. The University may also retain ownership under the terms of an agreement with the student, such as an agreement regarding financial assistance, a research fellowship, or other student employment agreement, or a special agreement as described in Section B.7 below.

5. Where there is disagreement between the individual and the University as to ownership rights (e.g., whether they are subject to Section A.1 or A.2), the Vice President and Associate Provost for Research shall conduct a review of the case and render a determination as to ownership. The burden of demonstrating that intellectual property was created outside the scope of University employment and without any significant use of Cavalla International University Resources is on the individual. Under Section V below, the decision of the Vice President and Associate Provost may be appealed to the University Provost and Chief Academic Officer.

6. The allocation of rights in intellectual property arising from research or creative work sponsored by government, industry, or other external organizations will typically be governed by the terms of a written agreement between the University and the sponsor. The University ordinarily will be required by the agreement or by law to grant the sponsor a license, maintain or disseminate data, or grant other rights relating to intellectual property arising from the research or work and accordingly will take ownership of such intellectual property in order to meet its contractual obligations. Ownership and other provisions of this policy are subject to such agreements.

7. The University and an individual faculty member, staff member, or student may negotiate specific written agreements for special projects such as University publications, digital courseware, or distance-learning curricula. Such agreements may reallocate rights or otherwise alter application of this policy.

8. Members of the Cavalla International University Community who enter into consulting agreements or other private agreements with parties outside of the University must ensure that such agreements contain no requirement to assign or otherwise transfer rights in any intellectual property owned by Boston University under this policy. Arrangements with other research institutions that involve dual appointments, visiting scientist agreements, and other arrangements that may require exceptions to this policy require prior University written approval by the Vice President and Associate Provost for Research.

9. Royalties or other proceeds from intellectual property owned by the University will be shared with individuals as set forth in Section E. below.

10. The University recognizes that faculty should have a significant role in the determination of how intellectual property will be publicized, commercialized, developed, and disseminated. Accordingly, the University will, in the absence of compelling institutional interest to the contrary, permit faculty the freedom to make their University-owned inventions and copyrightable works readily accessible by placing them in the public domain, or allowing them to be distributed via open source, creative commons, or similar open distribution methods, provided that doing so does not violate the terms of any existing University agreements or government regulations.

11. Research at Cavalla International University should be widely and openly published and made available through broad dissemination or publication of research results. The final research data is generally considered to be classified as public data unless there are specific requirements to maintain the confidentiality of research data, such as when a researcher is bound to protect the confidential information of a collaborating company or when the data relates to human subjects.

### **C. Signing of Intellectual Property Agreement**

All members of the Cavalla International University Community who are employed in a research capacity are required to sign the Cavalla International University Intellectual Property Agreement upon hire. In addition, all members of the Community who conduct funded research or training at Cavalla International University are required to sign the Agreement. Individuals

employed at other institutions who are given faculty appointments at Cavalla International University for the sole purpose of teaching and who are not conducting any research activities or developing any copyrightable works involving Cavalla International University Resources are not required to sign the Intellectual Property Agreement.

#### **D. Disclosures, Legal Protection, and Licensing**

The University will provide a centralized administrative office that manages intellectual property disclosures, patent applications, copyright registrations, and patent licensing. This office, the Technology Development office (TD), will establish and maintain efficient processes for patentability assessment, license opportunity assessment, patent and copyright application filing, patent portfolio management, and licensing of patents, copyrights, and other intellectual property to third-party entities, including University spin-out companies.

Members of the Cavalla International University Community shall disclose any potentially patentable invention that they make to the Technology Development office promptly and in reasonable detail through a centralized online system. In the disclosure, the inventor must indicate whether the inventor believes that ownership falls into Section A.1 (University owned) or A.2 (Inventor owned) of the policy definition of ownership (Section IV.A). The Technology Development office will make decisions about whether to pursue patent protection for any invention in a timely manner, normally within ninety (90) days.

Members of the Cavalla International University Community shall similarly disclose intellectual property other than patentable inventions, including copyrightable software, in cases where the author/creator deems the intellectual property to have commercial potential or otherwise require licensing or transfer to public use other than by publication or placement in the public domain.

The Technology Development office will assess the ownership category proposed by the individual inventor/author. In cases where the proposed ownership category is disputed, the Technology Development office will forward a written summary of the basis for the disagreement to the individual and to the Vice President and Associate Provost for Research, who will render a determination as to ownership. As set forth in Section V below, the individual will have a right to appeal the decision of the Vice President and Associate Provost to the University Provost and Chief Academic Officer.

For patentable inventions deemed to fall into Section A.1 (University owned), the Technology Development office will make a decision regarding pursuit of patent protection on behalf of the

University. The Technology Development office will consider whether the invention is likely to be awarded a patent if one is pursued, whether there is adequate prospective societal benefit to warrant patent protection (e.g., economic value, likely licensing opportunity), and whether there are any other circumstances (e.g., contractual obligations, governmental regulations, expert opinion) that might affect a decision to pursue patent protection.

In the event that the Technology Development office declines to pursue patent protection for an invention, it will notify the inventor promptly. Subsequently, upon written request of the inventor, the University will assign its ownership rights to the inventor, subject to the University's obligations to sponsors and applicable provisions of law.

The University will endeavor to license its intellectual property in ways that transfer technology for public use. If necessary, the University will vigorously defend and enforce its intellectual property rights through appropriate business and legal channels. In keeping with recommendations of the Association of American Universities, however, Cavalla International University will seek to avoid selling or licensing patents to patent assertion entities whose sole business strategy is to extract fees or licenses through threat of patent infringement rather than to foster active use of the technology or enable the development of new products and services.

### **E. Royalties**

The University and any faculty or student inventor or author will divide the net proceeds (gross proceeds less the University's costs for such activities as obtaining intellectual property protection/registration, production, marketing, distribution, litigation, etc.) from the sale or licensing of patents or copyrights as follows:

#### Division of net proceeds:

1. To the inventor/author: 1/3
2. To the University: 1/3
3. Equally to the academic units who supply the intellectual home and research support for the faculty member: 1/3. In many cases, this portion is divided between the academic school/college and an all-University laboratory/center. If the laboratory is totally embedded in a school/college, then the funding goes to the school/college.

The designation of which schools, colleges, and centers should be included in any royalty distribution will be determined primarily by their connection to the inventor or author through their provision of Cavalla International University Resources used in conceiving and developing the intellectual property. In case of disputes about appropriate designation of schools, colleges, and centers, the University Provost will resolve the matter. If more than one inventor or author is involved, the individual share will be divided between them equally unless they agree to a different arrangement. If the invention or copyrightable work that is associated with revenue generation was developed with support from a sponsored research program and the sponsor regulates the distribution of income, such specific regulations will take precedence over University policy with respect to distribution of the net proceeds.

## **V. Responsible parties**

The Vice President and Associate Provost for Research will be responsible for establishing and maintaining procedures and administrative support needed to implement this policy.

Conflicts or disagreements among members of the Cavalla International University Community with respect to this policy will be administered by the Vice President and Associate Provost for Research, who will establish and maintain procedures to resolve disagreements such as those related to intellectual property rights, patenting, copyright registration and licensing, and distribution of royalties. Decisions by the Vice President and Associate Provost for Research may be appealed to the University Provost.

### **A. University Intellectual Property Committee**

The Vice President and Associate Provost for Research will establish an Intellectual Property Committee, with membership comprised of faculty and staff appointed by and reporting to the Vice President and Associate Provost. The Committee will be responsible for reviewing this policy and recommending new or revised operational procedures to improve, implement, and support the policy. To aid the Cavalla International University Community in complying with this policy or resolving issues arising under it, the Committee will provide guidance and consultation to the Vice President and Associate Provost for Research as needed.

## **Misconduct in Scholarship and Research**

### **Policy Considerations:**

Cavalla International University is committed to the highest possible standards of integrity in scholarship and research. This commitment is fundamental to the University's mission in fostering the pursuit of truth and the expansion of knowledge. The administration, faculty, students, and staff of the University share in the responsibility for preserving the integrity of scholarship and research. All members of the University community are responsible for promoting the highest ethical principles in each academic discipline and for holding members of the community accountable to these principles.

Scholarship and research are conducted within a system of academic peer review aimed at promoting truth and knowledge. Working within this system places considerable demands upon both young and established investigators to uphold rigorous principles and methods. A serious failure of discipline or rigor can lead to an incident of misconduct in scholarship or research. Misconduct in scholarship or research includes such serious ethical violations as fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results. However, it is important that misconduct be distinguished from honest error or honest differences in the interpretation of data.

Creativity in the exploration of new and untried concepts and method is encouraged in the scholarly community. The use of novel procedures and practices in the pursuit of truth raises no issues of concern simply because such procedures or practices are new or different. However, the manner in which a scholar discloses or fails to disclose the use of new methods or assumptions may be relevant in determining whether there has been any misconduct in the reporting of scholarship or research. The University's statement on Academic Freedom Provides:

*The rights of the faculty member and the student to academic freedom, however, carry with them duties and responsibilities. The faculty member is entitled to full freedom to engage in research, scholarship, and creative work and to publish or produce the results, subject to responsible performance of these and other academic duties. The faculty member is likewise entitled to freedom in teaching and discussing the subject matter. Yet, as in research, the concomitant of this freedom must be a commitment to accuracy and integrity.*

The consequences of serious misconduct in scholarship and research may include not only damage to individual careers but also the erosion of public confidence in the integrity of scholarship and research both at the University and in the academic community generally. Similarly, false or inaccurate allegations of misconduct in research may also unfairly injure the reputation of scholars, researchers, and the institution. It is important that there be appropriate University procedures by which allegations of misconduct in scholarship or research may be fairly and thoroughly aired, both to expose and correct misconduct and to protect the scholar and researcher against false charges.

Hardware, software, firmware, operating software, and application software, which are owned, leased, or arranged for by the University or which the University possesses, has custody over, or controls. To be clear, "computing facility" includes cloud or internet-based services arranged for by the University or generally available cloud or internet-based services that you use to conduct University business or store University data.



By using the University's computing facilities, you agree and are on notice that the University has made no representation as to the privacy of any communication or data stored on or sent through these facilities; that the University has reserved the rights set forth below and in the Cavalla International University Information Security Policy and Policy on Computing Ethics; and that the use of these facilities is limited to University-authorized purposes.

The use of the University's computing facilities in connection with University activities and de minimis personal use is a privilege extended to various members of the University community; it is not a right. Users of the University's computing facilities are required to comply with, and by using such facilities agree that they are on notice of and agree to comply with, be subject to, and grant the University the right to implement, the Boston University Information Security Policy, the Policy on Computing Ethics and these Conditions of Use. Users also agree to comply with applicable federal, state, and local laws and to refrain from engaging in any activity that is inconsistent with the University's tax-exempt status or that would subject the University to liability. The University reserves the right to amend these Conditions and Policies at any time without prior notice and to take such further actions as may be necessary or appropriate to comply with applicable federal, state, and local laws.

To protect the integrity of the University's computing facilities and its users against unauthorized or improper use of those facilities, and to investigate possible use of those facilities in violation of or in aid of violation of University rules and policies, Cavalla International University reserves the right, without notice, to limit or restrict any individual's use, and to inspect, copy, remove or otherwise alter any data, file, or system resource which may undermine the authorized use of any computing facility or which is used in violation of University rules or policies. Cavalla International University also reserves the right periodically to examine any system and any other rights necessary to protect its computing facilities.

The University is not responsible for loss of data or interference with files resulting from its efforts to maintain the privacy and security of those computing facilities, system malfunction, or any other cause.

The University reserves the right to amend these Conditions of Use at any time without prior notice and to take such further actions as may be necessary or appropriate to comply with other published policies and with applicable federal, state, and local laws.

### **Policy on Computing Ethics**

Thousands of users share the computing facilities at Cavalla International University. These facilities must be used responsibly; misuse by even a few individuals has the potential to disrupt University business or the work of others. You are therefore required to exercise responsible, ethical behavior when using the University's computing facilities. This includes, but is not limited to, the following:



1. You must use only those computing facilities which the University has authorized you to use. The unauthorized use of computing facilities, whether by providing false or misleading information for the purpose of accessing computing facilities or otherwise, is prohibited. You must not use University computing facilities to gain unauthorized access to computing facilities of other institutions, organizations, or individuals
2. You may not authorize anyone to use your University accounts for any reason. You are responsible for all use of your University accounts. You must take all reasonable precautions, including password maintenance and file protection measures, to prevent use of your account by unauthorized persons. You must not share your password with others, and you should change your password regularly. You are responsible for any and all actions taken using your password regardless of whether you were the one performing those actions.
3. You must use the University's computing facilities only for the University-related purposes for which they were authorized. As with all University equipment, use of the computing facilities, including the Campus Network, for private or commercial purposes is prohibited, except as expressly authorized. You must not use the University's computing facilities for any unlawful purpose, including but not limited to the collection, installation or distribution of fraudulently or illegally obtained media files or software. Use of external networks or services – including cloud services – must comply with the policies of acceptable use published both by the University and by the organizations providing those networks or services.
4. You must not access, alter, copy, move or remove information, proprietary software or other files (including programs, members of subroutine libraries, data, and electronic mail) without prior authorization from the appropriate University data trustee, security officer, or other responsible party. You must not copy, distribute, display, or disclose third-party proprietary software without prior authorization from the licensor. Proprietary software must not be installed on systems not properly licensed for its use.
5. You must not use any computing facility irresponsibly or in a way that might needlessly interfere with the work of others. This includes transmitting or making accessible offensive, annoying, or harassing material, or materials such as chain letters, unauthorized mass mailings, or unsolicited advertising; intentionally, recklessly, or negligently damaging any system, material, or information not belonging to you; intentionally intercepting electronic communications or otherwise violating the privacy of others or accessing information not belonging to or intended for you; intentionally misusing system resources or making it possible for others to do so; or loading software or data from untrustworthy sources, such as freeware, onto administrative systems.
6. You are encouraged to report any violation of these guidelines by another individual and any information relating to a flaw in or bypass of computing facility security to CIU Information Security, the Information System & Technology Help Center, or the Office of Internal Audit.

The unauthorized or improper use of Cavalla International University's computing facilities, including the failure to comply with the above guidelines, constitutes a violation of University policy. Any questions about this policy or of the applicability of this policy to a particular situation should be referred to CIU Information Security, the Information System & Technology Help Center, or the Office of Internal Audit.

The University reserves the right to amend this Policy on Computing Ethics at any time without prior notice and to take such further actions as may be necessary or appropriate to comply with other published policies and with applicable federal, state, and local laws.

# **Constitution of Cavalla International University**

## **Article 1 - Name**

The name of the organization shall be the Cavalla International University Council.

## **Article II - Purpose**

The Council is responsible for developing, reviewing, and recommending action on such academic matters of the University as may be referred to it by the President, the University Provost, or the Chair of the Faculty Council.

## **Article III - Membership**

The membership of the Council shall consist of the officers of the Faculty Council; the immediate past Chair of the Faculty Council; Faculty Council representatives holding unmodified, clinical, research, or of the practice professorial titles, or master or senior lecturer rank; Chairs of the Faculty Council standing committees holding unmodified, clinical, research, or of the practice professorial titles, or master or senior lecturer rank; the President; the University Provost; the Deans of the Schools and Colleges; the University Librarian; the Dean of the Chapel; and those whose titles include Associate Provost and who engage with issues directly related to faculty or students.

## **Article IV – Meetings of the Council**

Regular meetings of the Council shall be held at least twice each semester. Special meetings may be called by the President or the Executive Committee. A majority of the members shall constitute a quorum for the conduct of business.

The President shall preside at Council meetings. In the President's absence, the Chair of the Faculty Council and the University Provost shall alternate as presiding officer.

An agenda for each meeting of the Council shall be prepared jointly by the President and the Chair of the Faculty Council, or their designees.

The President may invite one or more members of the administration and/or the faculty to attend a meeting of the Council and to report to and/or advise the Council regarding a matter under its consideration.

#### **Article V – Executive Committee**

The Executive Committee shall act for the Council when it is not in session and engage in such additional functions on behalf of the Council as may be requested by the President and University Provost. The Committee shall report to the Council at each meeting on all actions taken by it since the last Council meeting. The actions of the Committee are subject to review and modification or rescission by the Council.

#### **Article VI – Membership on the Executive Committee**

The members of the Executive Committee shall be the President; the University Provost; the Chair of the Faculty Council, the Chair-Elect of the Faculty Council (or immediate past Chair, in alternating years), the Secretary-Treasurer of the Faculty Council; and the co-chairs of each of the committees of the University Council.

#### **Article VII – Meetings of the Executive Committee**

Meetings of the Executive Committee may be called at any time by the President. A majority of the members shall constitute a quorum for the conduct of business. The President shall preside at Committee meetings. In the President's absence, the Chair of the Faculty Council and the University Provost shall alternate as presiding officer.

#### **Article VIII – Other Committee and Sub-Committees**

The University Council shall have the following standing committees:

Undergraduate Academic Programs and Policies

Graduate Academic Programs and Policies

Research and Scholarly Activity

Student Life and Policies

Faculty Policies

The Committee on Undergraduate Academic Programs and Policies shall include a standing sub-committee called the General Education Committee (GEC). The GEC shall have the responsibility for considering and approving program elements of the University-wide General Education Program.

Each committee and sub-committee shall have a charter that is subject to the review and approval of the Council. The University Council may establish other committees and sub-committees and determine their charters, membership, and terms of existence. The University Provost and Chair of the Faculty Council shall jointly appoint one faculty member and one administrative officer from among the membership of the Council as co-chairs of each of the committees and sub-committees of the Council, and other committee and sub-committee members from the faculty and administrative officers of the University.

#### **Article IX - Procedures**

The President, University Provost, or Chair of the Faculty Council shall charge the appropriate committees and sub-committees with the development or review of policies relating to academic matters of the University under that committee's or sub-committee's purview. The co-chairs of the committee or sub-committee shall bring recommendations of the committee or sub-committee to the Faculty Council and the Council of Deans for review and comment prior to consideration by the full Council. Ordinarily, the Council will not act upon a proposal during the meeting at which it is first presented, provided, however, that the Council in its discretion may waive this requirement. Final recommendations of the University Council shall be transmitted to

the President, who shall inform the University Council and Faculty Council of his/her decision on the matter.

### **Article X – By laws**

The Council may establish by-laws consistent with the provisions of this Constitution. By-laws may be adopted, amended, or repealed at any meeting of the Council by a two-thirds vote of those present and voting, provided that the full text of the proposal has been submitted in writing to each member of the Council at least ten days before the meeting.

### **Article XI - Amendments**

This Constitution may be amended at any meeting of the Council by a two-thirds vote of those present and voting, provided that the full text of the proposed amendment has been submitted in writing to each member of the Council at least one month before the meeting. The amendment shall take effect when approved by the Board of Trustees.

