HAWAI'I PACIFIC UNIVERSITY

Academic Affairs
Policies & Procedures Manual

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INTRODUCTION

Please note that this is the first publication of the Academic Affairs Policies and Procedures Manual, and it will continue to require updating as our university grows and evolves. The majority of content areas already have existing policies and/or procedures located in the Hawai‘i Pacific University’s Employee Handbook, Code of Ethical Conduct, Faculty Handbook, Student Handbook, Academic Catalog, and various departments in the University. The chart after the table of contents summarizes these other sources of policies and procedures and provides links to them.

An Academic Affairs Policies & Procedures Manual Committee of faculty, administrators, and staff members was formed in the fall of 2012 to develop this manual. *PHASE 1* was disseminated in January 2013. This document represents the culmination of work accomplished from fall 2012 through January of 2014.

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Chapter 1:

Hawai‘i Pacific University Policy and Procedure Resources

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The following table is provides a listing of sources of policies and procedures under which Hawai‘i Pacific University operates. The policies and procedures contained in this manual point to policies and procedures in these other sources; therefore links to these sources have been provided for convenience.

Policy and Procedure Source	Link to Source
Academic Affairs Policies and Procedures Manual	This document
Academic Catalog	http://www.hpu.edu/academic_catalog/docs/HPU_Academic_Catalog_2011-2013.pdf
CBA Handbook	Please contact CBA for information
CHSS Handbook	Please contact CHSS for information
CNCS Handbook	Please contact CNCS for information
CNHS Handbook	Please contact CNHS for information
Chemical Hygiene Plan and Appendices	http://www4.hpu.edu/ChemicalHygienePlan2009_01_minusappendices.pdf and http://www4.hpu.edu/ChemicalHygienePlanAppendices1_15_09.pdf
Code of Ethical Conduct	http://www4.hpu.edu/Code_of_Conduct;pdf
Disaster Manual	http://www4.hpu.edu/hrdoc/DisasterManual.htm
Employee Handbook	http://nexus.hpu.edu/dept/HR/Policies%20and%20Procedures/Employee%20Handbook%202013.pdf
Faculty Handbook	
International Student Handbook	http://www.hpu.edu/International_Student/Forms/Helpful_Resources/International_Student_Handbook.pdf
MCP Handbook	Please contact MCP for information
Safety Manual	http://www4.hpu.edu/hrdoc/SafetyandHealthManualTwo01.20.09.htm

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Strategic Plan	http://www.hpu.edu/Strategic_Plan_and_Implementation/index.html
Student Handbook	http://www.hpu.edu/Studentlife/handbook/Student_Handbook2013_2014_Updated_72913.pdf
WASC 2013 Handbook of Accreditation	http://www.wascsenior.org/resources/handbook-accreditation-2013

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Chapter 2:

Hawai‘i Pacific University Organizational Charts

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Chapter 3:

University Policies and Procedures

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Chapter 3: University Policies and Procedures

3.1 Accommodations for Nursing Mothers

The University's procedure to provide support to nursing mothers who require break times to pump breast milk while at work is provided on Hawai'i Pacific University's Campus Pipeline, Human Resources (HR) tab in the "Manuals" section. The document title is: "Procedures for Supporting Reasonable Break Time for Nursing Mothers."

3.2 Americans with Disabilities Act

Under the Rehabilitation Act of 1973 (Section 504), the Americans with Disabilities Act, Title III (Public Accommodations), and Title V (Employment), and the Hawai'i Fair Employment Practice Law, Hawai'i Pacific University does not discriminate against individuals with disabilities.

HPU will make reasonable accommodations in its policies, practices, and procedures in order to: 1) allow faculty with disabilities to benefit from the services and facilities offered by the University and 2) employ otherwise qualified individuals with disabilities who are able to do essential tasks of specific jobs. HPU will accommodate known disabilities, unless to do so would impose an undue hardship. This is interpreted to mean significant difficulty (fundamentally altering the nature of the services and facilities provided by the University) or expense.

Eligibility

Applicants or faculty with disabilities are responsible for informing HPU that an accommodation is needed to participate in the application process, to perform the essential job functions, or to receive equal benefits and privileges of employment. HPU may request documentation of those functional limitations, for which the accommodation is being requested, from a certified physician or psychologist.

All ADA inquiries should be directed to the EEO/AA Coordinator in the Human Resources Department.

1. All ADA notifications should be directed to the Director of Compensation and Benefits. Applicants or faculty with disabilities are responsible for informing HPU that an accommodation is needed to participate in the application process, to perform the essential job functions, or to receive equal benefits and privileges of employment.

2. A Request for Accommodation form must be completed and submitted to the Human Resources Department for consideration and approval of the accommodation. HPU may request certified documentation of those functional limitations for which the accommodation is being requested from a certified physician or psychologist.

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3. Once an individual with a disability has requested provision of an accommodation, effort will be made to determine an appropriate accommodation and if it is reasonable. The review and analysis may include: job analysis (to determine essential functions and marginal functions), consultation with the disabled individual (to identify potential accommodations), and selection of the accommodation (based on effectiveness, ease of implementation, and cost). Each accommodation request is considered on a case-by-case basis.

3.3 Appearance and Dress

While the University does not establish a dress code for faculty, faculty are expected to dress appropriately, present a clean appearance and to maintain acceptable levels of personal hygiene. Faculty should use their personal judgment and dress in a manner that is consistent with fulfilling their mission at the university.

It may occasionally be appropriate for departments or colleges to establish their own dress codes compatible with specific working environments, safety considerations or to meet standards mandated by accrediting or other professional bodies. In such cases, the need for such codes should be clearly explained to faculty within the effected department or college and codes of appearance and dress should be written and accessible.

Questions regarding appropriate dress and appearance should be discussed with the Department Chair or the College Dean.

3.4 Code of Ethical Conduct

3.4.1 Boycotts, Embargoes, and Restrictive Trade Practices

The University abides by export control and anti-boycott laws and regulations wherever HPU operates. Faculty in their official capacity may not cooperate with an international boycott unless approved by the U.S. Government. HPU must also report to the U.S. Government any boycott-related requests for information. The University complies with economic sanctions or trade embargoes imposed or approved by the U.S. Government. In the import and export of products, information, or technology, HPU follows applicable national and international laws, regulations, and restrictions.

3.4.2 Complete and Accurate Records

Faculty have a responsibility to provide complete and accurate information and to ensure that all financial books, records, and accounts correctly reflect actual transactions and events. Faculty must comply with Generally Accepted Accounting Principles and HPU's system of internal controls and make certain that any document they prepare or sign is correct and truthful. (Questions regarding compliance with Generally Accepted Accounting Principles can be directed to the Associate Vice President/Controller or

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his/her designee.) For example, the University will not tolerate incomplete or inaccurate reporting of hours worked on a time sheet, evaluation of scholarship criteria, listing of academic credentials or job history, accounting for donations and contributions, results of research, charges on an expense report, or information related to athletic eligibility.

HPU is committed to full, fair, accurate, timely, and understandable disclosure in reports and documents filed with, or submitted to, the U.S. Department of Education and other government agencies and in other public communications. Senior financial officers, and others responsible for the accuracy of financial reporting, have an additional responsibility to ensure that proper controls are in place to achieve truthful, accurate, complete, objective, consistent, timely, and understandable financial and management reports. They must proactively promote ethical behavior and comply with the rules and regulations of federal, state, provincial and local governments, and other private and public regulatory agencies. Documents and records must be retained in accordance with the law and our internal record retention guides.

3.4.3 Communications Outside the University

When dealing with anyone outside the University, including public officials, faculty must take care not to compromise the integrity or damage the reputation of our University. In addition, faculty may not engage in communication that slanders and/or libels any outside individual, business or government body. When communicating publicly on matters that involve University business, faculty must not presume to speak for the University on any topic.

3.4.4 Confidential and Proprietary Information

Faculty should handle all information in ways that respect individual privacy and protect the University's interests. They may, by virtue of their positions and responsibilities, have access to information that is personal, confidential, sensitive, or legally protected. Such information may relate to students, employees, alumni, donors, research subjects, research sponsors, contractors, and others. Careful treatment of such information, including observing applicable laws, policies and procedures for obtaining, securing, maintaining, handling, divulging, and destroying it, is of utmost importance, as is limiting the use of such information to the purpose for which access was granted.

3.4.4.1 Confidentiality

During the course of employment with HPU, faculty may learn of or be given access to information and/or records about the University, its faculty, its staff and/or its students that is confidential. "Confidential Information" includes, but is not limited to, information and/or records concerning:

- Compensation (e.g. salaries, pay rates, etc.)

- Medical information
- Student records
- Employee records
- Names, addresses, residence phone numbers or personal identification information of staff, students, or others related to the University
- Computer user passcodes
- Business or financial information about the University (e.g. costs, profits, business plans, operational methods, marketing plans, employment policies and practices)
- Contracts and grants
- Vendors and suppliers
- University reports
- Other documents deemed confidential by the University or by law

Faculty may not discuss, release or disclose Confidential Information to any person who has not been authorized by the University to receive or discuss the information (including family members of faculty, staff or students). Faculty are also expected to comply with any other notices concerning confidential information. Violation of this policy may result in disciplinary action up to and including termination.

3.4.5 Conflict of Interest Policy

The University prohibits personal, work, and financial conflicts of interest and expects you to self-report certain situations that might be a conflict of interest.

3.4.5.1 Favors, Gifts, and Entertainment

We expect faculty to always be fair and impartial. A gift or favor should never be given or accepted if it might create a sense of obligation, compromise one's professional judgment or create the appearance that it might. "Favors, gifts, and entertainment" can include, but are not limited to, meals, hotel accommodations, discounts, loans, cash, services, and tickets, use of vehicles or vacation facilities, and transportation. Giving or accepting more than de minimus favors, gifts, or entertainment could be construed as an improper attempt to influence someone and adversely affect the business relationships we have so carefully built. Our business relationships must be based entirely on sound business decisions; faculty must always use good judgment and, if they have questions or concerns, talk with their supervisor.

Stricter rules apply when doing business with government entities, employees, officials, and representatives, as well as the public sector (including government-owned organizations such as public universities and hospitals). U.S. Government employees are often prohibited from accepting anything of value, and violating their laws and rules can be a serious offense for both the giver (and his or her employer)

and the recipient of a prohibited gift. Faculty who work with government or private sector employees must be sure to know and comply with the specific laws and regulations that pertain to their customers and their locations.

3.4.5.2 Bribery and Kickbacks

The University prohibits giving, receiving, or soliciting any payments or anything of value in return for favorable business terms or opportunities to obtain (or retain) the award of a contract or subcontract.

3.4.5.3 Outside Activities, Employment, and Directorships

A willingness to support charitable activities is encouraged at the University; however, faculty must avoid acquiring any business interest or participating in any activity that would appear to interfere with their ability to work in the best interest of the University. Please refer to Faculty Handbook for procedures to disclose outside employment activities (chapter 6).

3.4.5.4 Personal Conflicts of Interest: (Applies to all types of employees including faculty)

1. HPU is happy to receive employment applications from close friends and relatives of faculty. However, a faculty member is not permitted to work in a position where his or her personal relationship with a subordinate or superior is so intimate that it creates the appearance of favoritism.

2. A close personal relationship covered by this policy includes, but is not limited to: a familial relationship such as parent, brother, sister, spouse, son, daughter, grandparent, grandchild; domestic partner or reciprocal beneficiary; or a roommate or the person you are dating.

3. Within HPU, the ability to evaluate, discipline, or recommend personnel actions without the appearance of favoritism due to personal relationship shall be a bona fide occupational qualification for each supervisory position. To ensure faculty members' confidence in the fairness of HPU's evaluation system, promotions, and other personnel actions, HPU will not allow persons with a close personal relationship to work in positions where one is the supervisor or second-line supervisor of the other.

4. If a close personal relationship arises which creates the appearance of favoritism, one of the members involved must be transferred or terminated within two (2) weeks after the relationship is established or becomes known. HPU will assist

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affected member to identify alternatives which might eliminate the appearance of favoritism. However, HPU will not grant exceptions to this policy.

3.4.5.5 Work Conflicts: (Applies to full-time, and temporary faculty working 40 or more hours)

1. A successful working relationship with HPU requires your full effort and attention. Outside interests should be avoided if they might adversely affect your judgment in acting for HPU or if they might otherwise conflict with HPU's interests.

2. Examples of conflicts of interest include, but are not limited to: (a) outside activities which have a negative effect on your ability to satisfy job-related requirements of your position at HPU; (b) outside jobs or business interests which are in competition with HPU's business such as other universities and teaching institutes; and (c) outside activities which involve the use of Confidential Information learned directly or indirectly through employment at HPU.

3. It is your responsibility to report all outside employment and business interests to your management on the Conflict of Interest Form on an annual basis and whenever appropriate. You are also required to report any other activities which might be regarded as a conflict of interest. Failure to report potential conflicts of interest or refusal to resolve such conflicts may result in disciplinary action, including discharge.

4. All outside employment requires the annual written approval of the Vice President of your Division. Such approval will be in the form of a memo with appropriate signature, and filed with the Human Resources Department.

3.4.5.6 Financial Conflicts:

1. HPU maintains the highest standards of business ethics and avoids conflicts of interest or the appearance of conflicts of interest. Accordingly, faculty are required to report using the Conflict of Interest form (on an annual basis and whenever appropriate) any transactions or arrangements that may constitute actual or potential financial conflict of interest. Failure to disclose actual or potential conflicts of interests shall result in disciplinary and corrective action.

   a. A person has a financial interest if the person has, directly or indirectly, through business, investment, or family: (1) an ownership or investment interest in any entity which has a transaction or arrangement with (including, but not limited to providing goods or services to) HPU; (2) a compensation arrangement with HPU, or with any entity or individual with which HPU has a transaction or arrangement; or (3) a potential ownership or investment interest in, or

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compensation arrangement with, any entity or individual with which HPU is negotiating a transaction or arrangement. Compensation includes direct and indirect remuneration, as well as gifts or favors that are not insubstantial.

b. A financial interest is not necessarily a conflict of interest. A person who has a financial interest may have a conflict of interest only if the Provost/VP of Academic Affairs and Chief Financial Officer determine that a conflict of interest exists. A conflict of interest exists if the Provost/VP of Academic Affairs and Chief Financial Officer, after due diligence, determines that: (1) a faculty member has a financial interest in a transaction or arrangement with HPU; and (2) HPU can obtain with reasonable efforts a more advantageous transaction or arrangement from a disinterested person or entity or the transaction or arrangement is not in HPU's best interest or the terms and conditions of the transaction or arrangement are not fair and reasonable.

2. Upon notification of a conflict, the Chief Financial Officer will review. If the Chief Financial Officer believes a potential conflict of interest may exist, the interested person will be given an opportunity to disclose all material facts regarding the financial interest to disinterested University managers or their designee.

3. After disclosure of the financial interest and all material facts, the Chief Financial Officer must determine, after exercising due diligence: (a) whether a conflict of interest exists; and, if so (b) whether HPU can obtain with reasonable efforts a more advantageous transaction or arrangement from a person or entity that would not give rise to a conflict of interest.

4. If a more advantageous transaction or arrangement that does not present a conflict of interest is not reasonably possible under the circumstances, the Chief Financial Officer shall determine: (a) whether the transaction or arrangement is in HPU's best interest, for its own benefit; and (b) whether the terms and conditions of the transaction or arrangement are fair and reasonable.

If the transaction or arrangement is not in conformity with the above standards, then HPU shall refrain from entering into the transaction or arrangement.

- For further guidance, please refer to HPU's Employee Handbook: *Conflicts of Interest Policy* Chapter V-A-8-b pp. 1-3 & *Solicitation, Distribution, and Access Policy* Chapter V-A-8-h p. 1.

3.4.6 Copyrighted Material

The University is committed to respecting the rights of copyright holders and complying with copyright law. As a globally focused University environment supporting research, creative works, and undergraduate and graduate learning, the University recognizes that

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the exclusive rights of copyright holders are limited under federal copyright law by provisions supporting our educational, research, and teaching endeavors, including the right to make a fair use of copyrighted materials and the right to perform or display works in the course of face-to-face teaching activities. The laws in this area are complex and failure to comply with restrictions on use can subject the University to penalties. All members of the community are encouraged to learn more about copyright, fair use and work, obtain permission when necessary, and operate within the requirements of copyright laws.

3.4.7 Duty to Report and Protection from Retaliation

As set forth above, the University is committed to upholding three Core Principles: Respect for Our Faculty; Respect for Our Institution; and Respect for the Law.

Faculty are expected to report actual or suspected violations of laws and regulations or of University policies and procedures, including the Core Principles specified in this Code, to the appropriate University office or to the 24 hours a day/7 days a week University Compliance Hotline (877-270-5054). You may also file a report online at www.tnwgrc.com/HPU/. Those who make good faith reports of actual or suspected violations are protected from retaliation by the University's Policy Regarding Protection for Whistleblowing. Reports should normally be made through the regular channels that the University defines for handling a particular type of matter. However, in the event that an individual feels uncomfortable using such channels or they are otherwise inappropriate, the University Compliance Hotline is available and provides the opportunity for **anonymous reporting**. The University will review and respond to all good faith reports with appropriate diligence.

3.4.7.1 Policy Regarding Protection for Whistle-Blowing

Hawaii Pacific University strives to operate in an ethical, honest and lawful manner and expects its faculty to conduct their activities in accordance with University policies and applicable law. The University expects all faculty to bring a violation or suspected violation of law, rule, ordinance, regulation, or government contract, or a violation of the University's Code of Conduct, to its attention so that potential problems can be addressed and resolved. The University will take action deemed necessary and appropriate to address a violation or suspected violation.

If you are aware of a violation or suspected violation of law, rule, ordinance, regulation, or government contract, or you are aware of a violation of the University's Code of Conduct, you must immediately make a report to your supervisor, the Human Resources department, or the University's Compliance Hotline.

- Human Resources – 808-544-1187
- Compliance Hotline – 877-270-5054
- Compliance Website – www.tnwgrc.com/HPU/

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You also have the option of making a report directly to the Audit Committee of the Board of Trustees, particularly if the matter involves accounting practices, finances, conflicts of interest, auditing irregularities, and/or illegal conduct. You may address your report to the Audit Committee of the Board of Trustees, c/o Michele Saito

No University faculty member may interfere with the good faith reporting of suspected or actual wrongful conduct. No individual who makes such a good faith report shall be subject to unlawful retaliation, including harassment or adverse employment consequence, because that individual has made a good faith report. It is the University's policy to abide by laws protecting employees who engage in whistleblowing, including, but not limited to, the Hawaii Whistleblowers' Protection Act ("HWPA"). Consistent with the HWPA and other laws, the University prohibits retaliation against any employee who: (1) reports or is about to report to the University, or a public body, verbally or in writing, a violation or suspected violation of a law, rule, ordinance, or regulation, adopted pursuant to law of this State, a political subdivision of this State, or the United States; (2) reports or is about to report to the University or a public body, verbally or in writing, a violation or suspected violation of a contract executed by this State, a political subdivision of this State, or the United States; and/or (3) is requested by a public body to participate in an investigation, hearing, or inquiry held by that public body, or a court action. However, an employee is not entitled to protection as a whistleblower if he/she fails to make the report in good faith or otherwise knows that the report he/she made or is about to make is false.

Please note that if you believe the HWPA has been violated, the law permits you to bring a civil action for appropriate injunctive relief, or actual damages, or both, within two years after the occurrence of the alleged violation. The HWPA also provides for civil fines, which are credited to the State's general fund, for violations of the HWPA.

For activities supported by funds received under the American Recovery and Reinvestment Act (ARRA), you may not be discharged, demoted, or otherwise discriminated against as a reprisal for disclosing information that you reasonably believe is evidence of any of the following: (1) gross mismanagement of an agency contract or grant relating to covered funds; (2) gross waste of covered funds; (3) a substantial and specific danger to public health or safety related to the implementation or use of covered funds; (4) an abuse of authority related to the implementation or use of covered funds; or (5) a violation of law, rule, or regulation related to an agency contract (including the competition for or negotiation of a contract) or grant, awarded or issued relating to covered funds.

- For further guidance, please refer to the University's *Policy Regarding Protection for Whistleblowing* in the HPU Employee Handbook: Chapter V-A-8-i pp. 1-2.

3.4.8 Equal Opportunity Employment

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The University will not tolerate discriminatory actions with regard to race, color, national origin, religion, gender, age, ancestry, marital status, arrest or court record, sexual orientation, veteran status, disability, genetic information, or other protected classifications under Federal and State laws.

- For further guidance, please refer to HPU's Employee Handbook: *Equal Opportunity Employment Policy* Chapter I-B p. 1 and *Discrimination and Harassment Policy* Chapter V-A-8-C pp.1-2.

3.4.9 Government Contracting and Procurement Laws

In addition to the provisions of this Code and other University policies, members of faculty who work with any U.S. Government entity have an obligation to know, understand, and abide by the laws and regulations governing that work. Faculty must work with U.S. Government customer representatives in an atmosphere of openness and under circumstances that could not be interpreted to imply concealment, the appearance of an impropriety, or any conflict of interest. The University (and anyone who works for or with us on our U.S. Government contracts) must understand and comply with all applicable terms, conditions, and provisions related to our contract(s) including (but not limited to):

- The Anti-Kickback Act of 1986: Faculty will not directly or indirectly offer, provide, solicit or accept anything of value in return for favorable treatment in connection with a government contract or subcontract.

- The Byrd Amendment: Faculty will not use federal appropriated money to pay any person for influencing or attempting to influence officials of the Executive or Legislative branches, including members of Congress and their staffs, in connection with the award or modification of U.S. Government contracts.

- The Procurement Integrity Act: During the course of a federal government procurement, faculty will not solicit, obtain, or disclose contractor bid and proposal information or proprietary or source selection information. Faculty must also refrain from discussions with current and former federal officials with regard to future non-government employment. All of the University's contingent labor (including contract labor and consultants who are involved in U.S. government procurements) must understand and comply with the requirements of the Procurement Integrity Act and its implementing regulations.

- Sherman Anti-Trust Act: Faculty must understand that it is unlawful to permit any contract, combination, or conspiracy with any competitor.

- Truth in Negotiations Act: The University complies fully with this Act in the conduct of its U.S. Government business to provide an effective means of negotiating a fair and reasonable price. The University discloses cost or pricing data

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to the contracting officer (or designated representative) and certifies that such data is accurate, complete, and current for negotiated procurements requiring certification as of a mutually agreed-to date.

- Foreign Corrupt Practices Act (FCPA): The University is committed to fair and open business conduct throughout the world. The FCPA prohibits corrupt payments (meaning anything of value) to non-U.S. Government officials and employees (at any level) for the purpose of obtaining or retaining business. The FCPA also requires that we maintain accurate records and internal controls. This law carries significant criminal and civil penalties (including imprisonment and monetary fines) for noncompliance. Faculty are required to comply with the FCPA and promptly report any suspected violations.

3.4.10 Misuse of University Assets

Faculty have a responsibility to use and maintain the University's assets with care and to guard against waste and abuse. Assets include not only the physical space in which work is conducted, but also other physical assets such as securities and cash, institutional credit cards, office equipment, and information systems. Assets include software, patents, trademarks, copyrights, and other proprietary information. It is prohibited to borrow or remove assets from University premises without proper authorization, and use them to support a personal business, consulting effort, fundraising activity, political activity, or any other activity that is outside the scope of University work.

Faculty should be aware that all data stored on University computers, including e-mail sent or received on the network, is University property and is not private, except as required by law. Individuals may not access, distribute, download, or upload material that is prohibited by law or contains sexual content, offensive language, derogatory comments that are unrelated to a faculty member's pedagogical or scholarly activities or anything that would negatively reflect on the University.

The University controls the use of its name and logos in order to protect the University's reputation and to ensure that their use is consistent with the University's mission, identity, and tax-exempt status. Faculty should protect the University name and logos from improper use.

- For further guidance, please refer to HPU's Employee Handbook*: Electronic Communication and Information Systems Policy* Chapter V-A-8-f pp. 1-2 & *Use of Cellular Phones and Mobile Electronic Devices Policy* Chapter V-A-8-g p.1.

3.4.11 Political Activity

The University respects the right of faculty to be involved in political activities on an individual basis, contributing their own time and resources. Such activity, however, must

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not take place on University time or use University property, University equipment, or the University name.

- For further guidance, please refer to the University's*: Lobbying Policy* & *Political Activity Policy*.

3.4.12 Teaching and Research Methods

The University expects faculty to propose, conduct, and report research with integrity and honesty. In making a commitment to ethical research practices, we each have a responsibility to protect people and to treat animals humanely in our research and testing and to obtain appropriate approval and consents for studies involving such subjects. We also are obligated to comply with the requirements of sponsors, regulatory bodies and others, as applicable, including being accountable for sponsors' funds and complying with grant and contract requirement as well as University policies regarding research. We are committed to ensuring the originality of our work, providing credit for the ideas of others, and assigning authorship credit where it is due.

3.5 Campus Security and Safety

The safety and security of faculty is a consideration of the Hawaii Pacific University Security Force. The Security Force is in charge of activities such as: opening and locking facilities, facilitating access to storage space, reporting emergencies/serious incidents, patrolling the premises, activating and deactivating electronic security systems, enforcing no smoking ordinances, campus parking authorization, responding to ADA requests for assistance, and responding to requests for escort assistance to certain areas.

- Downtown and Hawaii Loa Campuses
  The Director for Safety and Security can be reached at 236-3597. He/she is the primary investigator of incidents that occur on campus.

- Downtown Campus
  A lead guard for both the morning and evening shifts can be reached at 753-7304.

- Hawaii Loa Campus
  A lead guard for all three watches can be reached at 236-3515.

- Military Campus Program

CAMP SMITH		
Police	257-2123/24	
Fire	257-3212/2786	
Ambulance	911	Specify Camp Smith Location

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HICKAM		
Police	(808) 474-2222	
Fire	(808) 449-3100	
Ambulance	(808) 449-3100	

PEARL HARBOR		
Security	(808) 474-2222	
Police	911	Specify Pearl Harbor location
Fire	911	Specify Pearl Harbor location
Ambulance	911	Specify Pearl Harbor location

KANEOHE – MCBH		
Police	(808) 257-2123/24	
Fire	(808) 257-3212/2786	
Ambulance	911	Specify Kaneohe location

SAND ISLAND		
Security	226-4170 (Duty Officer)	
Police	911	Specify Sand Island location
Fire	911	Specify Sand Island location
Ambulance	911	Specify Sand Island location

SCHOFIELD		
Security	655-7114 (non-emergency)	
Police	655-0911	
Fire	471-7117	
Ambulance	911	Specify Schofield location

TRIPLER		
MP Station	(808) 433-1111	
Fire	474-2222 or 911	Specify Tripler location
Medical Emergency in hospital	(808) 433-2222	
Ambulance (outside hospital)	911	Specify Tripler location

- Oceanic Institute
  Director of Security and Safety: 808-259-3112 / 808-236-5819

➢ For further information, please refer to the *HPU's Annual Security and Fire Safety Report* at http://www.hpu.edu/About_HPU/hpu-security.html

3.5.1 Emergency Preparedness

Hawaii Pacific University has a comprehensive Emergency Operations Plan (EOP) to protect life, property, and the continuity of university operations. Faculty are expected to

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know and follow the Emergency Operations Plan (EOP) at Hawaii Pacific University. This plan "enables HPU to respond to an emergency or traumatic event in an organized and timely manner." It applies to emergencies occurring at HPU and off-site that affect students, faculty, staff, and property. Roles and responsibilities are assigned to departments and individuals directly responsible for emergency response. The details for each campus' EOP vary, depending upon local procedures and resources.

- General Information (Downtown Campus)
  Director of Security and Safety: 808-236-3597
  Emergency Operations Center (Primary) – President's Conference Room, 8th Floor, 1164 Bishop Street (UB)
  Emergency Operations Center (Secondary) – International Conference Center, 11th Floor, 1164 Bishop Street (UB)

- General Information (Hawaii Loa Campus)
  Director of Security and Safety: 808-236-3597 Business Hours: 808-236-3515 – Front gate security; operational 24/7
  Emergency Operations Center (Primary) – President's Executive Office Suite, 1st Floor, Academic Center

- General Information (Oceanic Institute)
  Director of Security and Safety: 808-259-3112 / 808-236-5819
  Emergency Operations Center (Primary) – HPU Marine Sciences Bldg. (Cottage)
  Emergency Operations Center (Secondary) – Oceanic Institute Learning Center
  Emergency Operations Center (Secondary) – Office of the Director of Security and Safety in the Maintenance Building

The Basic Plan details the following information: Situation and Assumptions, Integration with Other Plans, Phases of Emergency Management, Levels of Emergencies, Emergency Management System, Emergency Operations Center, Emergency Response Team, Emergency Notification, News Media Communication, and Training and Drills. Protective actions include guidelines related to: Evacuation, Shelter-in-Place, and Lockdown.

Downtown/Hawaii Loa Campus Evacuation:
Notification to evacuate occurs by fire alarm, emergency personnel, the building's public broadcasting system, the Civil Defense Notification System, or by management's order. The University department heads, building and floor captains, and instructors will coordinate and execute the emergency evacuation.

1. Move quickly and calmly to the nearest EMERGENCY EXIT STAIRWELL.
2. DO NOT USE ELEVATORS.
3. REMAIN CALM. DO NOT RUN.
4. USE ESTABLISHED EVACUATION ROUTE AND MEET AT DESIGNATED ASSEMBLY AREA.
5. DO NOT CONGREGATE AT THE BUILDING ENTRANCE.

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After Hours:

- Instructors are responsible for ensuring that their classes are evacuated and meet at the designated assembly area.
- At the designated assembly area, instructors must take "headcounts" to ensure that all have evacuated safely. Please advise security of missing individuals.
- Floor captains (or Security after-hours) will ensure that everyone has departed each floor.

Further information about the following emergencies can be found in the HPU Emergency Operations Plan: Shelter-in-Place, Lockdown, Medical Emergency, Pandemic Flu, Crime and Violence, Dangerous and/or Armed Intruder, Death or Suicide Attempt at Campus, Bomb Threat, Suspicious Package/Mail Threats, Terrorism, Biological Attack, Chemical Attack, Radioactive/Nuclear Attack, Explosive/Conventional Attack, Homeland Security, Fire, Propane Gas Leak, Hazardous Material Spill/Leak/Release, Severe Weather, Hurricanes, Earthquake, Tsunami, Volcanoes, Utility Outage, Infectious Disease, Tornado/Straight-Line Winds/Water Spouts, Wild land Fire, Landslides/Mudslides/Falling Rock, Flooding, Missing/Lost/Abducted Student, Hostage Situation, Sexual Assaults, Structural Collapse, Confined Space, and Entrapment/High Angle Rescue.

➢ Please refer to the *Emergency Operations Plan* within the *Disaster Manual* located at Hawai‘i Pacific University's Campus Pipeline, Human Resources (HR) tab in the "Manuals" section.

3.5.2 Chemical Hygiene Manual

HPU is committed to providing a safe environment for all its employees. This Chemical Hygiene Plan (CHP) accomplishes this goal by establishing procedures and practices in accordance with requirements set forth by the U.S. Occupational Safety and Health Act (OSHA) of 1970 and the U.S. Department of Labor including 29 CFR 1910.1450 "Occupational Exposure to Hazardous Chemicals in Laboratories". All information in this CHP is in accordance with the knowledge and regulations current at the time it was established. This CHP is a supplement to the HPU Hazard Communication Plan providing details specific to the use of hazardous chemicals in the laboratory including roles and responsibilities, training, procedures, and use of equipment. All HPU laboratories are subject to this standard and each employee should receive a copy of the CHP during his/her orientation safety training to review. Copies of the CHP are located in each laboratory and by request of the Chemical Hygiene Officer or the chair of the Hazardous Materials Safety Committee.

According to 29 CFR 1910.1450, each unit must comply with the provisions of the regulation listed below.

- Maintain a written CHP.

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- Designate personnel responsible for implementation of the CHP, including a Chemical Hygiene Officer (CHO).
- Define circumstances when a laboratory operation requires prior approval from the CHO.
- Identify hazards presented by materials and operations within the laboratory, develop Standard Operating Procedures (SOPs) for them, and reduce exposure with engineering controls, use of personal protective equipment (PPE), and appropriate hygiene practices.
    - Train personnel on all chemical hazards.
    - Maintain proper laboratory storage and ventilation.
    - Develop measures for proper functioning of laboratory hoods and other protective equipment.
    - Develop provisions for chemical exposure evaluation including medical consultation, examination, and surveillance.
    - Develop procedures to be followed in the event of an emergency, including identifying the location and proper use of available emergency equipment.

This CHP will be reviewed annually by the CHO to evaluate its effectiveness. It is the responsibility of all laboratory faculty to communicate necessary changes and additions to the CHO. Laboratory Supervisors, Principal Investigators (PIs), faculty, and staff are responsible for familiarizing themselves with this CHP.

➢ Please refer to the *Chemical Hygiene Plan* and the *Chemical Hygiene Plan Appendices* documents located at Hawai‘i Pacific University’s Campus Pipeline, Human Resources (HR) tab in the “Manuals” section.

3.6 Electronic Communication and Information Systems

The University’s electronic communication and information systems provide a wide array of services that are critical to fulfilling its mission. These policies and procedures are intended to provide a framework for the protection and effective utilization of these resources. They apply to all University electronic communication and information systems. The use of personally-owned equipment on the University’s networks is also covered, as this use requires University resources.

Policy

Privacy

HPU respects the reasonable privacy of electronic files stored or distributed on its servers and networks by faculty, staff and students. However, you cannot have an expectation of complete privacy when using the University’s computers, laptops, tablets, software, internet access, e-mail systems, and other electronic communication and information systems.

You should not assume that electronic files or messages are confidential or private. You should also understand that files stored electronically have an **existence** that differs from paper files. While individual paper documents (and any copies made) may often be easily collected and shredded, electronic documents typically exist in multiple locations—on multiple servers

and disk drives, as e-mail attachments, and in backup tapes or disks. The act of deletion from your own hardware does not assure permanent erasure. You should be aware of the continuing existence of your files. Back-up copies of electronic files and e-mail are maintained by HPU and may be referenced for business and legal reasons.

The University reserves the right to examine and disclose any electronic files (including e-mail) where the University, in its sole discretion, determines that it has reason to do so. Some examples of situations in which the University may decide to examine your electronic files include:

- During an investigation into an allegation of usage that contravenes existing laws, policies, or guidelines; or
- When complying with a Freedom of Information request for data; or
- Where necessary to carry out urgent operational requirements during your absence when alternative arrangements have not been made.

Electronic records will be retained as required and copies may be made available upon request when your employment with HPU ends.

Personal Use of Internet Access or E-Mail
Because HPU provides internet access and e-mail systems to assist you in the performance of your job, you are to use them primarily for official University business. While incidental personal use is acceptable, relevant HPU policies and procedures still apply. For example, a faculty member must not use these systems for soliciting or proselytizing for commercial ventures, or other similar, non-job-related solicitations (see 4.21 Solicitations on Campus), conducting business for profit or other inappropriate uses of University assets (see section 3.4 Code of Ethical Conduct).

If HPU discovers that a faculty member is misusing an HPU e-mail system, or internet access via an HPU network, the faculty member may be subject to disciplinary action up to and including termination.

Hardware and Software

All hardware facilities HPU provides are configured prior to use. Faculty members should not attempt to install, remove, or modify any hardware components without authorization (see procedures below for how to obtain authorization).

All software supplied by the University is licensed and HPU does not condone or support the use of any unauthorized copies of software. Faculty must utilize software in accordance with the applicable license agreement and may not install, access, modify, or duplicate any software without proper authorization (see procedures below for how to obtain authorization).

Use of Electronic Communication & Information Systems

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When using e-mail and other electronic forms of communication for official HPU business, faculty should apply the same professionalism that would apply to in-person communication. All HPU policies, such as those concerning civility, sexual harassment, discrimination and inappropriate use of University assets, still apply (see Section 3.4 Code of Ethical Conduct). Accordingly, faculty should not use HPU's internet access to download any material, or HPU e-mail to transmit any messages, that one would not reasonably want seen or read by a third party, or which may reasonably seem abusive or threatening.

Use of HPU electronic communication and information systems in violation of this policy will result in disciplinary action, up to and including termination. HPU will fully cooperate with appropriate law enforcement or government agencies.

Password and Encryption Key Security and Integrity

Notwithstanding HPU's right to retrieve and read electronic files and messages on HPU equipment and networks, such files and messages must be treated as confidential by other staff and faculty members and accessed only by the intended recipient. Therefore, faculty are:

1. Prohibited from the unauthorized use of the passwords and encryption keys of others to gain access to their electronic files and/or e-mail messages;
2. Prohibited from using a code, accessing a file, or retrieving any stored information, unless authorized to do so.

Duty to Report Violations

Faculty are required to report actual or suspected violations of University policies and procedures, including these ones (see 3.4 Code of Ethical Conduct, 3.4.7 Duty to Report and Protection from Retaliation). Anyone who discovers a violation of this policy should normally notify the Chief Information Officer.

Procedures
Access to University electronic communication and information systems is facilitated by Information Technology Services (ITS) (See section 5.4 Information Technology/Library Support for Faculty).

Permission to alter hardware and software may be obtained by sending a request to the ITS help desk (808-566-2411 or e-mail: helpdesk@hpu.edu) and following the instructions provided.

3.7 Eligibility to Work in the United States

The Immigration Reform and Control Act of 1986 prohibits this institution from employing any person not legally authorized to work in the United States. In accordance with the requirements, all persons commencing or resuming work after November 6, 1986 must submit to the University documentation evidencing their eligibility to work in the United States. Anyone submitting false documents shall be terminated. In fulfilling its obligation under this act, the

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University reaffirms its commitment to comply with both state and federal nondiscrimination laws.

3.8 Free Speech Policy

Free speech is the cornerstone of a university whose mission is to pursue truth. Moreover, it is a prerequisite to the proper exercise of shared governance and to the functioning of a university in a democratic society. As such, the university recognizes the right of all members of the university community to examine, question, investigate, speculate, and comment on any issue without reference to any prescribed doctrine. The university encourages open and vigorous debate and strives to maintain an atmosphere in which the free exchange of ideas and viewpoints can thrive.

Specifically, the university:

1) Acknowledges that all members of the university community have the right to engage in internal criticism which involves institutional policy or decision making, either individually or through governance structures, without fear of reprisal.
2) Recognizes the right of all members of the university community to address members of the broader community on any matter, provided that it is clear that the university member is not speaking for the university.
3) Acknowledges that it is the right of faculty, students, staff and administrators and others invited by members of the university community (artists, speakers etc.) to set forth their views and opinions at the university
4) Asserts that undue interference with the exercise of the right of freedom of speech may warrant resort to law or other formal action.
5) Advocates the exercise of responsible speech recognizing that while HPU is a private institution, time, place, and manner restrictions that typically circumscribe free expression in the public sector can be appropriate to the private sector. Specifically, the following types of expression are not permitted by HPU faculty or staff while on campus and/or while engaged in their official duties: expression that is legally slanderous or libelous; speech or other organized action that directly disrupts the teaching, research, or service mission of the University; expression that creates an imminent danger of unlawful or violent activity; speech or writing that, either alone or in combination with other factors, meets the legal definition of harassment, including sexual harassment; threats against the health, safety, or well-being of any person or persons; terrorist threats as defined by law; and other forms of expression prohibited under the laws of the United States or the State of Hawai‘i.
6) The university acknowledges that a university fails in its mission if it asserts the power to proscribe ideas. At the same time the university recognizes that it is a community where all members of the community should be able to work free from harassment. Tension can occur between free speech rights and the desire to work in a harassment free environment. The university, therefore, encourages all members to behave reasonably, with civility, and to respect the free speech of others. The university also believes that true learning can only occur in an atmosphere of mutual respect and thoughtful

contemplation. Therefore, all members of the University community should strive to engage in discussion and argumentation that meets the high intellectual and professional standards that we expect from our students, our colleagues, and ourselves.

3.9 Intellectual Property Rights

Background

In 1980 Congress passed the Bayh-Dole Act, which for the first time permitted universities and small businesses to own inventions made with federal funding and to become directly involved in the commercialization process of those inventions. The purpose of the new law was to have the public benefit from the fruits of federally funded research through the transfer of new technology from academia to the marketplace.

Like everyone else, colleges and universities are subject to the U.S. patent laws, codified at 35 United States Code. The patent laws have undergone many changes and interpretations in recent years that add to the already complex tasks of technology transfer for the University, its staff, faculty and those involved in research administration. By gaining an understanding of the patent laws and adopting policies, procedures and mindsets that emphasize commercialization of the fruits of university research, research administrators will be in a better position to fully protect and exploit the intellectual property generated at their institutions.

Patent Policy

Hawai‘i Pacific University owns worldwide rights to all inventions made at the University by all university personnel who are funded by the university, or who use university facilities or resources. University personnel includes full- or part-time faculty, staff, students (both graduate and undergraduate), postdoctoral associates, non-academic employees, fellows, residents, outside consultants, appointees, or visitors. The acceptance of the patent policy is a condition of employment or enrollment, and all employees of the university will have access to review this policy. The university shall share royalties from inventions assigned to the University with the inventor(s), as stated in this policy.

The Provost/VPAA is authorized to administer this policy and to implement further rules and procedures within the framework provided herein to facilitate technology transfer and compliance with this policy. The university reserves the right to amend this policy at any time, including with respect to current and former employees.

Participation Agreement

The University has adopted an Intellectual Property Policy for Hawai‘i Pacific Personnel. All covered individuals must agree to the terms of the policy prior to participating in any HPU activities. The individual must assign to the University all rights in any Intellectual Property in which the university asserts ownership (as described below).

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Employees (Faculty and Staff): All employees must sign a Participation Agreement upon employment with the University.

Students: Students must sign a Participation Agreement prior to employment by the University in any research-related position or position that may result in an invention. Students may also be required to sign a Participation Agreement under other appropriate circumstances, as determined by the Provost/VPAA.

Non-employees: Faculty members are responsible for knowing who is working in research facilities under their control, and for assuring that ALL such individuals have signed an appropriate intellectual property agreement with Hawaiʻi Pacific University. Failure to have such agreements in place compromises our ability to comply with the terms and conditions of sponsored projects and to meet federal and sponsor requirements related to the handling of inventions.

Rights and Equities in Intellectual Property

Sponsor-Supported Efforts

Sponsored project agreements often contain specific provisions with respect to ownership of Intellectual Property developed during the course of such work, in which case the terms of the sponsored project agreement shall establish ownership. When the sponsored project agreement is silent on the matter, all rights in Intellectual Property shall vest in the University.

Income, if any, from such Intellectual Property developed from sponsor-supported efforts shall be shared, subject to sponsor's requirements, in accordance with this policy.

University-Assigned Efforts

Ownership of Intellectual Property developed as a result of assigned university effort shall reside with the University. Copyrightable works created by an employee in the course of his/her employment are considered to be works made for hire under the Copyright Law, with ownership vested in the employer. It is the policy of the University that all rights in copyright shall remain with the creator unless the work is a work-for-hire, is supported by a direct allocation of funds through the University for the pursuit of a specific project, is commissioned by the University, makes significant use of University resources or personnel, or is otherwise subject to contractual obligations.
Income, if any, from such Intellectual Property developed from University-Assigned Efforts shall be shared in accordance with this policy.

University-Assisted Individual Efforts

Ownership of Intellectual Property developed by university personnel through an effort that makes significant use of University resources shall reside with the University. In general the University shall not construe the provision of office space, access to library resources, or

office computers as constituting significant use of University resources. Significant use of University resources shall include, but not be limited to, use of research funding, use of University-paid time within the contracted teaching period, use of support staff, and the use of facilities other than office or library resources.

Income, if any, from such Intellectual Property developed from University-Assisted Individual Efforts shall be shared in accordance with this policy.

Individual Efforts

In accord with academic tradition, except to the extent set forth in this policy, HPU does not claim ownership to pedagogical, scholarly, or artistic works, regardless of their form of expression. Such works include those of students created in the course of their education, such as dissertations, papers and articles. The University claims no ownership of popular nonfiction, novels, textbooks, poems, musical compositions, software, or other works of artistic imagination which are not institutional works and did not make significant use of university resources or the services of university employees working within the scope of their employment.

Ownership of Intellectual Property developed by University Personnel shall reside with the Inventor of such Intellectual Property provided that:

- There was no significant use of University resources in the creation of such Intellectual Property; and
- The Intellectual Property was not developed in accordance with the terms of a sponsored project agreement; and
- The Intellectual Property was not developed by faculty or students as a specific University assignment.

Consulting

Consulting for outside organizations may be performed by University faculty pursuant to prior approval by the University and pursuant to this University policy on Intellectual Property. Any consulting agreement should include a statement that the faculty member has obligations to the University as described in this Intellectual Property Policy. In the event that there is any conflict between the consultant's obligations to this Intellectual Property Policy and their obligations to the entity for which they consult, the obligations to this Intellectual Property Policy shall control.

Research notes, data reports, and notebooks

Research notes, research data reports, research notebooks, and software created during research are included within the definitions of copyrighted materials and software. Their ownership is determined by the ownership definitions described above with ownership vested in the University if the research is University assigned, if University resources are used or if so determined by the sponsored project agreement.

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Administrative Procedures

Responsibility

The administration of the principles and policies set forth in this document is the responsibility of the Office of Sponsored Project (OSP) who shall do so with the utilization of an Ad-Hoc University Intellectual Property Committee. The Intellectual Property Committee shall be appointed by the Provost/VPAA and consist of no less than three members, one of which shall be designated by the Provost/VPAA to serve as Chair and one that shall be a career faculty member. Additional ad hoc members may be added by the Chair at any time as considered necessary.

Disclosure of Intellectual Property

University Personnel shall promptly provide the OSP with a disclosure describing their new material, devices, processes, or other inventions which they consider may have commercial potential using the Invention Disclosure Form. University Personnel shall also cooperate with the University and sign all papers deemed necessary to protect and commercialize Intellectual Property covered by this Intellectual Property Policy.

Disclosures are not required for pedagogical, scholarly, or artistic works.

Obligations of Principal Investigators/Project Directors

Principal Investigator/Project Directors shall be responsible for informing co-workers of their rights and obligations under contracts, grants, and the like before the initiation of research.

Confidentiality

Certain contractual obligations and governmental regulations require that information be maintained in confidence. Additionally, some works, such as certain computer software, may best be protected and licensed as trade secrets, and inventions must be maintained in confidence for limited periods to avoid the loss of patent rights. Accordingly, the timing of publications is important, and university personnel shall use their best efforts to keep the following items confidential:

1. All information or material designated confidential in a contract, grant, or the like;
2. All information or material designated or required to be maintained as confidential under any applicable governmental statutes or regulations; and
3. All information relating to Intellectual Property developed by university personnel that may be protected under this policy until application has been made for protection.

Collaboration

Collaboration between university personnel and persons not employed or associated with the University, including researchers at other universities or companies can result in the

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development of Intellectual Property jointly owned by the University and other persons or their employers. Protection and commercialization of such joint Intellectual Property can be difficult without extensive cooperation and agreement among the owners. Accordingly, it is important for university personnel involved in or contemplating collaborative activities that may result in the development of Intellectual Property to advise the University of such activities beforehand.

Administration of Sponsor-Supported Efforts, University Assigned Efforts and University Assisted Individual Effort

Hawai‘i Pacific University has the responsibility to evaluate Intellectual Property developed from Sponsor-Supported Efforts, from University-Assigned Efforts, and from University-Assisted Individual Effort, and to determine whether to administer such Intellectual Property by undertaking those efforts it determines, in its sole discretion, to be appropriate to protect and license or otherwise commercialize such Intellectual Property.

Administration of Individual Efforts

It shall be the responsibility of University Personnel who are Inventors to demonstrate that Intellectual Property made, discovered, or developed while employed at the University as a result of individual effort meets the criteria set forth in Individual Efforts section above. In each case so demonstrated and agreed by HPU, the Intellectual Property will be acknowledged as belonging to the Inventor to dispose of as the Inventor sees fit.

Individual Effort Intellectual Property may be assigned to HPU to be treated and administered as University-Assigned Effort Intellectual Property if both HPU and the Inventor agree to do so.

Declined Sponsor-Supported Effort and University-Assigned Effort Intellectual Property

Whenever HPU chooses not to administer Intellectual Property or chooses to cease administering Intellectual Property that is classified or is being administered under Sponsor-Supported Efforts, under University-Assigned Efforts, or under University-Assisted Individual Effort, such Intellectual Property, subject to any obligations to sponsor, may be assigned by HPU to the Inventor to dispose of as the Inventor sees fit.

Revenue Sharing with Inventors

Net revenue, which is gross receipts received by the HPU from license activity minus the out-of-pocket costs incurred by HPU in protecting and licensing the Intellectual Property, generated from Intellectual Property administered by HPU shall be distributed as follows:

- 25% to Inventor(s)
- 25% to College(s)
- 50% to HPU General Operations

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The Inventor's share of net revenue shall be divided equally among joint Inventors of jointly developed Intellectual Property unless a written statement signed by all joint Inventors that provides for a different distribution is filed with HPU prior to the first distribution of shared net revenue.

In the event the terms of the license of the Intellectual Property provide HPU with equity, or an option to acquire equity, in the entity which licenses the Intellectual Property, the share of such equity due to Inventors as identified above, will be distributed to the Inventors when such equity is transferable or convertible to cash.

Interpretation, Decision, and Appeal

Cases where the Inventor and HPU agree as to the classification and proposed mechanism of commercialization of the Intellectual Property will be processed by HPU in accordance with this policy. All cases in which questions arise as to equities, rights, division of royalties, or any other Intellectual Property-related matter shall be referred to the Ad-Hoc Intellectual Property Committee for consideration, interpretation of policy, and decision. This committee shall be assigned by the Provost/VPAA and have at least three members. Appeal of an Intellectual Property Committee decision shall be to the Provost/VPAA and then to the President. Appeals within the University must be made in writing within sixty (60) days of written notice of a final decision.

Heirs and Assigns

The provisions of this Policy shall inure to the benefit of and be binding upon the heirs and assigns of (a) all University Personnel and (b) all others who agree to be bound by it.

3.10 Military Duty for Faculty

HPU does not discriminate in employment against persons who have applied to perform, or have an obligation to perform service in the uniformed services of the United States, including the National Guard, the Reserves and the commissioned corps of the Public Health Service.

HPU will provide its faculty the benefits and rights afforded under the Uniformed Services Employment and Reemployment Rights Act of 1994 ("USERRA"). A faculty member's rights under this policy will be terminated if the faculty member is: (1) separated or dismissed from service with a dishonorable or bad conduct discharge; (2) discharged under other than honorable conditions; or (3) dropped from the rolls of the uniformed service before satisfactory completion of the faculty member's term of service.

Employee Status and Entitlements While Performing Military Service: Faculty called to duty in the uniformed services, including duty with the National Guard, the Reserves or the Public Health Service, will receive authorized military absence without pay. Regular full-time faculty who are in the National Guard or Reserves and are called to temporary annual duty of two (2) weeks with their units will be reimbursed for the difference between their military pay and

regular pay for a maximum of two (2) weeks if their military pay is less, provided they supply their supervisor and the Human Resources Department with their authorized military rank, pay rate and official orders. Faculty performing duty with a uniformed service will be entitled to reemployment rights and other benefits if: (a) they give their supervisor advance written or verbal notice of their intention or obligation to perform the service requiring their absence (if military necessity makes thirty (30) days' notice impossible, the faculty member shall give the maximum notice possible); and (b) the cumulative length of the absence plus all prior absences from HPU on military service leave does not exceed five (5) years.

Notice and Requests for Military Leave: To avoid disruption in University operations, HPU requests that faculty complete a leave of absence request and give it to their supervisor at least one (1) month prior to the absence period or enter the leave dates in the time and attendance system. The leave of absence form should indicate the beginning date of the leave, the anticipated duration, and the expected date of return to work. In addition, the faculty member should attach to the Leave of Absence form a copy of the official military orders directing the military duty. If entered in time and attendance, submit military orders and dates of leave/return to HR.

Return to Work: Faculty returning to work with HPU must comply with the following return times:

- For absences of thirty (30) days or less. The faculty member must report to his/her supervisor and apply for return to work not later than the first regularly scheduled work shift on the day after completion of uniformed service. (The faculty member will be permitted sufficient time for safe travel from their duty site to home plus eight (8) hours).

- For absences of more than thirty (30) days and up to one hundred eighty (180) days. The faculty member must report to his/her supervisor and apply for return to work not later than fourteen (14) days after completion of uniformed service.

- For absences of more than one hundred eighty (180) days. The faculty member must report to his/her supervisor and apply for return to work not later than ninety (90) days after the completion of uniformed service.

Reemployment Benefits and Positions: Unless HPU circumstances have so changed as to make reemployment impossible or unreasonable; HPU will provide reemployment opportunities outlined below to faculty returning from uniformed service. In addition, HPU will afford a returning faculty member the seniority ranking and benefits that the faculty member would have received if his or her continuous employment had not been interrupted by uniformed service. HPU will place faculty returning from military leave in positions according to the following scheme:

- For absences of ninety (90) days or less. The faculty member will be placed in the position in which he or she would have been employed if uniformed service had not interrupted the faculty member's continuous employment. If the position is different from the position the faculty member left to perform uniformed service, HPU will make

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reasonable efforts to qualify the faculty member for the new position. If after reasonable efforts, the faculty member is not qualified for the new position, HPU will return the faculty member to the position he or she filled at the time of departure on military leave.

- For absences of more than ninety (90) days. The faculty member will be placed in the position in which he or she would have been employed if uniformed service had not interrupted the faculty member's continuous employment or a position of like seniority, status, and pay. If the faculty member is not qualified to perform the duties of this position, HPU will make reasonable efforts to qualify the faculty member for the position. If after reasonable efforts the faculty member does not qualify for the new position, HPU will place the faculty member in the position the faculty member left to perform uniformed service. If that position is not available, HPU will place the faculty member in a position the faculty member is qualified to perform and is of like seniority, status and pay as the position the faculty member left to perform uniformed service.

3.11 Pay Period & Paycheck Policy

The purpose of this policy is to establish guidelines for pay periods and pay check distribution. The year consists of 24 semi-monthly pay periods. Paydays for all of the University's faculty and faculty fall on the 15th and on the last working day of each month. The exact pay schedule is available in the Finance Department or the Human Resources Department.

Distribution of Paychecks

Paychecks are distributed by the Payroll Office or designated representatives. The University has no mechanism for early, i.e., prior to payday, distribution of paychecks. Employees who will not be present on payday should make appropriate arrangements with their supervisor for the handling of their paychecks. Upon special written request to the Payroll Office, paychecks may be mailed to an employee's home or to an alternate address.

Direct Deposit

You may authorize deposit of your check directly into your bank account provided it is an approved bank. You must complete the proper authorization agreement in the Human Resources Office. Participating faculty will receive a pay stub in lieu of a paycheck. The paystub will list withholdings, deductions, gross pay, and net pay. Contact the Human Resources Department for forms or additional information regarding direct deposit.

Lost Paycheck

If you lose your paycheck, your supervisor and the Payroll Office should be notified immediately. The Payroll Office will submit a "stop payment order" to the bank the employee may be responsible for the stop-payment change. A new check will be issued by the University after receiving notification from the bank that the first check has not been cashed. If the lost check is recovered after notifying payroll, it should not be cashed or deposited as it will be rejected by the bank. Instead, return it to the Payroll Office or to your Supervisor.

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3.12 Research and Grant Policies and Procedures

3.12.1 Introduction and Organization of Grants and Contracts Office of Sponsored Projects

The policies and procedures contained below provide an outline of the process of the application for and the management of, external funding received in the form of grants and contracts by faculty and staff who conduct educational, research and services activities. In general, gifts are given to the University without contractual obligations or specific deliverables imposed on the University and therefore are not subject to the policies and procedures outlined below. To apply for grants and contracts a formal process in which the sponsor requires the applicant to submit a written application is followed. A more informal process where funds or gifts are solicited via written letter or telephone calls, or, in some cases, funds may come to the university unsolicited are administered by Alumni and University Relations (AUR).

In general, gifts are given to the University without contractual obligations or specific deliverables imposed on the University. Grant and contracts are managed by the sponsoring organization through written agreements usually supporting specific projects and requiring deliverables such as research reports or specified milestone such as a product of the research other than a report and are subject to the policies and procedures described below. If the PI is not sure whether an opportunity falls under the gift or grant process, then they should contact the Office of Sponsored Programs (OSP) for clarification.

Most funding agencies have specific requirements and/or forms for the application process. The Office of Sponsored Projects in the Office of Academic Affairs is specifically designated as the University resource to assist faculty and staff with instruction on preparing the proposal application, processing the proposal and complying with grant submission deadlines. Most importantly the Office of Sponsored Projects ensures that the application meets compliance with federal regulations that the University must operate under.

Seeking external funds is important for Hawai‘i Pacific University to supplement existing revenues and to meet its research, teaching and service goals. At the center of this effort is Hawai’i Pacific University faculty and staff who compete for external funds and who serve as principal or co-principal investigators.

The acquisition and administration of external funded projects at Hawai‘i Pacific University are guided by policies that are divided into three major categories: *Grant Seeking (Pre-Award); Grant Management (Post-Award); and, Compliance*. These policies will enable the University and its employees to function effectively in the often challenging world of grants and contracts.

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Grant Seeking (Pre-Award) focuses on the following key areas: identification of funding opportunities; preparation of proposals and budgets; review and submission of proposals. These policies are coordinated and maintained by the Office of Sponsored Projects.

Grant Management (Post-award) focuses on negotiation of the terms of the grants or contracts, and ensuring the deliverables of the grant or contract are met and that the grant or contract is administered according to contract requirements and Federal law pertaining to grant and contract management. This includes fiscal management of funds awarded to the University by ensuring compliance with direct and indirect costing directives of the sponsoring agency. These policies include expenditure guidelines, cost sharing and time and effort reporting. The policies related to post-award financial management are coordinated primarily by the Office of Sponsored Projects with help from the Business Office. In addition, there are other University units involved in coordinating matters related to grants and contracts, e.g. Human Resources, Payroll, Purchasing, etc.

Compliance focuses on the regulatory environment that faculty and staff must work within, especially if they are using federal funds. These policies apply to financial requirements, animal care and use, biosafety, human subject protection, export controls, intellectual property, objectivity in research and other regulations that must be complied with in University activities whether externally funded or supported from within. The compliance policies are coordinated and maintained by the Office of Sponsored Projects (OSP).

Taken together, these policies provide guidance and assistance to faculty and staff in acquiring and administering external funds from a variety of sponsoring agencies.

3.12.2 Policy for Developing and Submitting Grant Proposals and Accepting Grant Awards

Policy

A grant research proposal may be submitted only by regular HPU faculty or full-time employees, singly or jointly, who will personally direct the research and also serve as the Principal Investigator (PI) or Co-PI. A proposal for a training or public service project may be submitted only by regular HPU faculty or full-time employees, singly or jointly, who will personally direct the project to a significant degree and also serve as the project administrator. A proposal for a research, training or public service program involving numerous programs may be submitted only by an academic appointee who will personally oversee the programs in his/her capacity as the program administrator.

Anyone submitting a grant proposal must have a signed copy of the University's Intellectual Property Agreement on file with Office of the University Counsel (OUC). Once a draft of the project describing the purpose, general tasks, resource needs and rough budget have been completed, it is required that the draft be discussed with the PI's Dean and OSP. Discussion with OSP will ensure that the internal review process is

streamlined, as OSP will help to identify any problematic areas of the proposal before the internal review begins. Discussion of the proposal with OSP should be done at least 60 days before the proposal due date or as early as practicable based on the publication date of the grant application opportunity.

The proposal and supplemental materials are submitted to OSP with all required forms at least 15 business days before the due date to ensure time for a compliance review and obtaining all needed signatures. Applications can and will be submitted with less than the 15 day review time period given that OSP is available for review and the PI has kept OSP informed during the proposal development process. Otherwise, submitted proposal and forms with less than a 15 business day review period jeopardizes submission of the proposal by the due date. OSP coordinates review of the proposal and required approvals. Once all reviews are completed and approvals obtained, OSP submits the proposal to the funding agency.

For a grant or contract to have validity and enforceability, it must be signed by a person with specific delegation to sign on behalf of the University. Therefore, if a sponsored project award is NOT signed by the authorized University official, the contract, grant, agreement, proposal or application may be void and unenforceable.

The negotiation and resolution of many proposal and award issues may require coordination between the Sponsoring Agency, the Office of Sponsored Projects (OSP), the Principal Investigator (PI) and, where appropriate, the Office of University Counsel (OUC) and the office of the CFO. The involvement of each party as appropriate is essential to a successful award with mutually acceptable terms and conditions.

Award Terms and Conditions

OSP and the Office of the University Counsel (OUC) have the primary role in negotiating award terms and conditions with sponsors. The HPU Principal Investigator is kept engaged in this process and can be instrumental in getting a mutually acceptable award in place.

Final authority to accept an award remains with OSP and/or the Office of the University Counsel. Prior to acceptance, OSP and the Office of the University Counsel will review the award to ensure that the:

- terms and conditions are not incompatible with the University's sponsored research regulations, policies and procedures.
- terms and conditions include all elements agreed upon prior to the award.
- terms and conditions include approved contract language.
- Principal Investigator concurs with any non-standard or complex terms

3.12.3 Procedure for Developing and Submitting Grant Proposals

Grant proposals must be reviewed and approved prior to submission to the funding agency. Before a proposal can be processed by the Office of Sponsored Projects (OSP)

and submitted to a funding agency, the principal investigator (PI) must obtain the required endorsement of the Dean or Director and submit a completed Proposal Submittal Form (OSP-1) and Budget and Cost-sharing Form (OSP-2) with the entire proposal to OSP. Additional forms are required if a reduction or waiver of HPU's indirect rate is requested (Indirect Cost Waiver Request Form, OSP-3), or if significant facilities or IT work are required (Facilities & IT Request Form, OSP-4). OSP will review and route the forms and proposal through the necessary University channels. When routing a proposal that involves participation by more than one college, signatures from respective officials in the collaborating college must be included on OSP-1 at the level of investigator and Dean. Please ensure that all forms are submitted to the OSP office **15 business days** prior to the submission date.

The following table summarizes the OSP forms and the circumstances under which each form is used:

Form Number	Title	Circumstance Form is Used For
OSP-1	Proposal Submittal Form	Used for EVERY proposal
OSP-2	Budget and Cost Sharing	Used for EVERY proposal
OSP-3	Indirect Cost Waiver Request Form	Used if indirect rate not applied or if indirect rate is different from the University's negotiated rate.
OSP-4	Facilities and IT Request Form	Used if modifications or additions to HPU facilities are needed and/or for Information Technology requests
OSP-5	Conflict of Interest Disclosure Form	Used for EVERY proposal (except NIH - see OSP-5a)
OSP-5a	NIH Financial Conflict of Interest Disclosure Form	Used for ALL NIH proposals

Please contact the OSP office for OSP forms.

Signature Authority Regarding Grant Proposals and Contracts Resulting from Grant Proposals

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Proposals – The following signatures are required for all grant proposals prior to submission to the sponsoring agency:

Principal Investigator (PI) – signs to certify that the material presented in the grant proposal is complete and accurate and that the PI accepts responsibility for the scientific conduct of the work should the grant be awarded and a contract is accepted by HPU.

Dean – signs to certify that s/he supports the project and understands the impact of the project on the college with respect to resources, cost sharing course buy-outs, facilities, etc.

Office of Sponsored Research – signs to certify that the proposal meets all the requirements in the request for proposal (RFP) or funding opportunity announcement (FOA), the budget is properly developed and accurate and that all University requirements have been met.

Associate Vice President of Academic Affairs & Research, or designee, is the Authorized Official for HPU, and is authorized to sign sponsored project proposals.

The **Associate Vice President of Academic Affairs & Research** will obtain the following additional approvals for proposals under the specified circumstances:

Chief Financial Officer – signature is required for facilities/IT requests, cost sharing requirements and/or if University financial statements are required by the sponsoring organization.

Vice President of Academic Affairs & Provost – signature is required if University financial statements, trustee information or income tax returns are required by the sponsoring organization, cost sharing requirements and/or for proposals over $500,000 per year.

Routing for Proposals – The following flow diagram outlines routing of a grant application for review and approval purposes:

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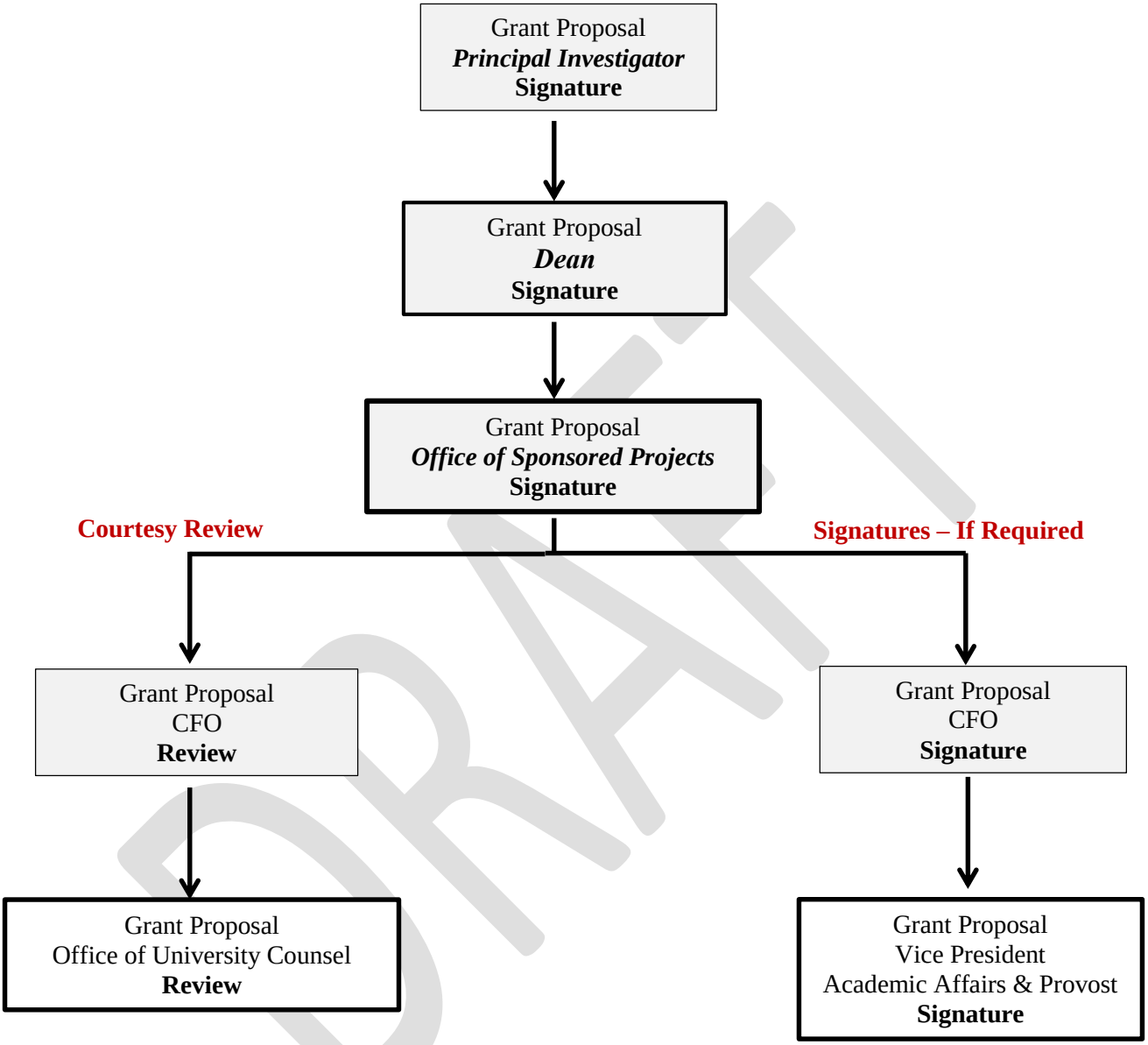
Grant *Proposal* Routing for Approvals and/or Review

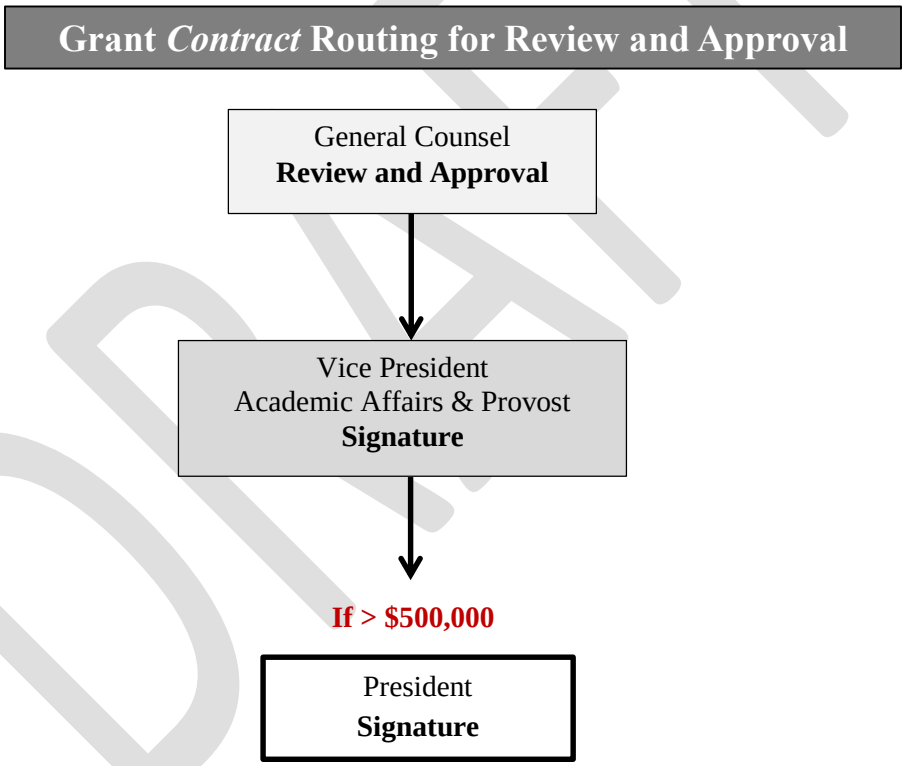


Signatures are required as described under the proposal section. In addition to routing for required signatures, the grant proposal may be routed through the Office of the University Counsel and the CFO office as a courtesy to alert these offices of the specifics of the proposal and how they may impact each department should the grant be awarded. It is preferable but not necessary for the courtesy review by the CFO and OUC to occur prior to application submission to the funding agency.

Acceptance of an Award

An award to the University from a sponsoring agency is a document which legally obligates the University. An award may be simply in the form of a letter issued by an authorized agent of the sponsor or it may consist of a lengthy contractual document. In some cases acceptance by the University (and then by the agency) is required before the award is in force, while in other cases no formal acceptance is required.

Contract – Any contractual document for a grant award received by OSP will be routed through the Office of the University Counsel for review and approval prior to routing to the **V.P. Academic Affairs** who is the **Authorized Official** for signing grants contracts unless over $500,000 where the **President** is the required signatory. Every effort will be made to ensure that all award contracts are processed in an expedient manner. The following flowchart outlines the routing for approval of grants contracts:



PIs, Deans, and other employees of HPU are not authorized to sign a sponsored project proposal, contract or grant on behalf of HPU. This policy does not preclude these individuals from signing internal processing documents or the proposal or award if so called for by the funding agency; however, the proposal or award document must also contain the signature of the Authorized Official.

Potential Consequences for Unauthorized Signatures
Any PI, faculty or staff member who signs a research proposal or award on behalf of HPU without the authority to do so may assume extensive personal legal liability. PIs,

Deans, faculty and staff should remember the following potential consequences of signing without authority:

- Because the individual does not have the signatory authority to bind HPU the university may not be bound by that agreement or obligated to provide lab or office space, personnel, accounting, purchasing, or any other support needed to carry out the work described in the sponsored project.

- If an HPU employee uses University facilities and personnel to conduct research or other sponsored activities not otherwise approved through proper University procedures, the employee may be subject to discipline for misappropriation of University property and/or resources.

- Without an authorized signature, the individual who signed the agreement may be personally liable for performance of the agreement and responsible for adherence to all laws, rules and regulations relating to the agreement, including, but not limited to, the Internal Revenue Code and state tax laws. Personal responsibility may include withholding and/or reporting requirements on amounts expended as well as liability for income and self-employment taxes on funding received.

- Any University employee who signs a proposal or agreement without authority to do so may be subject to claims by the sponsor of the project or the University for fraud or misrepresentation if the employee led the sponsor to believe that he/she did indeed have the authority to sign on behalf of HPU.

- The University and its employees are subject to requirements that govern intellectual property rights generated from a sponsored program (including those specified in the Intellectual Property Policy, Section 3.9). If the employee seeks to invent something independently, it is crucial to proceed in accordance with this policy. Signing an agreement without authority does not insulate the employee's intellectual property rights from these policies, which presume that HPU retains rights concerning any invention created in a University-related activity or using University resources such as time, facilities, equipment or materials.

3.12.4 Grant Award Administration and Oversight

Policy

When a proposal has been approved by a sponsor for support, the Office of Sponsored Projects (OSP) will usually receive notice that an award has been made or a contract is being prepared. If the Principal Investigator (PI) receives such a notice, s/he must contact OSP immediately to insure that OSP has also received the notice. OSP cannot administratively initiate the project without formal sponsor notification. Many award instruments are received which require both sponsor and University signatures (bilateral agreement) before they become effective. **Principal Investigators are not authorized to sign award documents on behalf of the University.**

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When an award document is received which requires University signature in order to be effective, it is the responsibility of OSP to obtain the proper signatures and return signed copies to the sponsor. Upon receipt of the fully executed documents, OSP will process the award.

Administration of the award is a team effort consisting of the Principal Investigator (PI), Office of Sponsored Projects (OSP), and the University's Business Office. The PI and the University jointly bear the responsibility for proper administration according to the policies and guidelines pertinent to the particular project. The OSP will also assist in the clarification of regulations.

Responsibilities of the Principal Investigator

- Project implementation. Responsible for the overall management of the scientific, technical, financial, compliance and administrative aspects of the sponsored project in accordance with relevant regulations and University Policy.
- Assembly of the necessary staff.
- Expenditure of the funds and conduct of the project as described in the proposal and agreed to by means of the award notification.
- The PI must direct the work so that it will be completed within the budget period and with the funds authorized; otherwise, a request for supplemental funds or a no-cost time extension must be initiated. Although there is similarity among the regulations of major funding agencies, researchers should familiarize themselves thoroughly with the regulations applicable to their specific project.
- The PI may authorize changes when they are in compliance with the sponsor’s terms and conditions, as well as HPU's fiscal regulations, and if the goods or services are directly related to the sponsored project.
- PIs have first line responsibility for managing expenditures within the fiscal regulations and amounts specified by the sponsor. The principal investigator must carefully analyze the monthly expense report with the OSP Grant Manager to see that all items presented are correct and that appropriate funds are available. The PI also has the responsibility of initiating or coordinating appropriate adjustments as each situation dictates.
- Develop progress reports and final reports as required.
- Monitoring Time and Effort Reporting.

Responsibilities of the Dean

- Fostering a culture of compliance with regulations and policies pertaining to sponsored projects
- Reviews and approves proposals to assure appropriate PI effort given other academic and administrative commitments
- Confirms that proposals are in accord with college objectives
- Gives approval to any cost-sharing commitments.

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Responsibilities of the Office of Sponsored Projects

- Establishing accounts and releasing initial budget amounts
- Processing of budget transactions such as category conversions
- Approval of purchase requisitions, change orders, travel authorizations, etc.
- Approval of cost transfers before they are sent to Payroll or Accounts Payable for processing
- Addresses questions on re-budgeting, no-cost extensions, carryover of funds, closeout requirements, etc.
- Assuring that transactions conform to the terms and conditions of each contract or grant
- Monitoring of Time and Effort reporting
- Ensuring that approvals are in place prior to expenditure of funds
- Fiscal aspects of project closeout
- Monitoring of compliance with Federal, State, Agency and University policies and procedures
- Monitoring of adherence to the terms and conditions of contracts and grants. This office provides assistance with compliance throughout the life of the project.

Responsibilities of the Business Office

- Financial data entry
- Monitoring the accuracy of accounting transactions captured in the Banner Financial System that assist the Grant Manager and PI in managing grants and contracts.
- Initiating invoices to agencies to collect funds
- Cash management such as initiating paperwork for draw down on Letters of Credit
- Submission of required financial reports
- Monitoring and advice on Cost Accounting Standards
- Monitoring of the application of Federal Acquisition Register (FAR) Clauses
- Monitoring of the application of Office of Management and Budget (OMB) Circulars

Responsibilities of Office of University Counsel

- Review requirements of Award Agreements Facilitate negotiation of award agreement should changes need to be made.

3.12.5 Program Expenditures

HPU complies with the OMB Circular A-21 (Cost Principles for Educational Institutions), Federal Acquisition Regulations (FARs), and sponsor specific rules and regulations. OMB Circular A-21 identifies allowable direct cost categories and prescribes a standard distribution and allocation method for the recovery of F&A (indirect) costs. In addition, the circular establishes standards for consistency in the treatment of costs for institutional accounting and applies to grants, contracts, and other award vehicles accepted by the University. Costs charged to federally sponsored programs must be

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reasonable, allocable, and allowable charges under applicable federal standards and they must be permitted under the terms of the specific award and charged consistently. Costing guidance in the OMB circulars does not generally apply to non-federal sponsored awards. Non-federal sponsors occasionally have expenditure policies of their own (or they ask award recipients to adhere to federal regulations and guidelines).

Purchasing Procedure

The PI of a sponsored project is responsible for approving only those purchases that are reasonable and necessary to achieve the goals of the project and are allowable within the terms and conditions of the award agreement and state and federal law. The OSP is responsible for answering any questions regarding whether costs are allowable or need prior approval from the sponsor. Requests to purchase equipment should be discussed with the OSP because such purchases frequently require prior written approval from the sponsor.

Spending documents for sponsored project are to be processed according to existing university policies and procedures. Approval by the OSP is needed to process the documents through the purchasing system and principal investigators are encouraged to seek the advice of the OSP for allowable costs or prior approval determinations.

Expenditure Guidelines

Most federal and non-federal sponsoring agencies or organizations issue their own policy guidelines and directives defining acceptable costs for purposes of their program(s). Despite a great deal of commonality as to content, there are sufficient variations in policies to make it impractical to issue and maintain a policy compendium. Individual agency or organizational directives must be consulted for authoritative guidance.

The purpose of this section is to provide clarification, guidance, or references as to University policy. For guidance on items not referenced, please consult sponsor policies or contact the OSP.

Alcoholic Beverages
Costs of alcoholic beverages are unallowable.

Alterations and Renovations
Such costs are allowed only in exceptional cases and are subject to specific sponsor guidelines and limitations. Alterations and renovations are normally authorized only for specialized facility requirements and not for general purpose space such as administrative offices.

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Cell Phone Charges on Sponsored Projects

Local calls are part of the indirect rate and cannot be charged to a sponsored project. Long distances charges can be charged ONLY if they meet the requirements of A-21 and the award itself.

- Allowable – A-21 F. b. (1) states that long distance charges are allowable if it can be shown that each call supports the objective of the project.
- Allocable – There would need to be a method in place for capturing such expenses on the project.
- Supporting documents - Who called who, the date and the reason for the call. Due to the difficulty in monitoring specific calls from a cell phone; it may be difficult to provide this necessary documentation.
- Reasonable – Ex: If a student is on his/her way to the University, charging a phone call to the sponsored project is not acceptable and cannot be charged.

Consultant Services

The Internal Revenue Service establishes the criteria for distinguishing independent contractors from employees and imposes severe penalties for paying individuals as independent contractors who should have been paid as employees. The University requires that all Consultant contracts or service payments be reviewed by the Office of the Legal Counsel. Refer to the IRS website for more information at: http://www.irs.gov/businesses/small/article/0,,id=99921,00.html

Consultant payments on sponsored projects must represent compensation to individuals who are independent of the university and who render independent services. Consultant payments may not be made by faculty to colleagues where an employer/employee relationship exists. Rather, in these situations colleagues should be compensated for services via the University payroll system according to percent effort of committed time; or donate their services as professional courtesy.

On the whole, it is expected that consulting needs can be satisfied from resources within the University community. When outside consulting services are needed for a grant or contract, all of these conditions must be met:

- The services provided are essential and cannot be provided by persons receiving salary support under the sponsored project.
- A selection process was employed to secure the most qualified person available.
- The charge is appropriate considering the qualifications of the consultant, normal charges, and the nature of the services rendered.

Encumbrances near to and after the termination date

Orders for supplies and equipment must be placed sixty to ninety (60-90) days prior to the award expiration date to ensure delivery and utilization. Items not received and/or utilized during the award period are routinely disallowed on an audit.

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If additional time is needed to complete the research project, the principal investigator must contact the OSP for aid in securing fiscal information before submitting an official request for a no-cost date extension to the sponsor. Otherwise, the University must automatically cancel outstanding encumbrances thirty to sixty (30-60) days after termination to avoid disallowances on an audit.

Entertainment
Costs of amusements, social activities, entertainment, and incidental costs related thereto are not allowed.

Equipment
Equipment is defined as an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost equal or greater than $5,000.

Purchases of specialized equipment are normally allowable with advance approval from the sponsoring agency. Purchases of general office equipment and furnishings, such as desks, chairs, tables, etc., will generally not be approved by a federal agency. Whenever practical, equipment already in possession of the University will be utilized to meet research needs.

Project funds are normally used to pay for only authorized equipment acquired sufficiently in advance of the ending date (prior to last 90 days) of the project period to be effectively used on that project. Purchases of equipment not meeting the effective utilization test, particularly if there is not a follow-on or continuation award, are usually questioned by auditors and generally result in a cost disallowance or exception.

Honoraria
An honorarium payment is characterized by the primary intent to confer distinction upon an individual. Payments of this nature are generally not allowable charges to sponsored research. The term honoraria must not be used in reference to the procurement of consultant services.

Pre-award Cost
Incurrence of project costs prior to the effective date of an award must be avoided. Sponsored Projects should not be initiated prior to the effective date of an award with expectation that such costs will be allowed. Such charges will be permitted only in exceptional cases and must be approved in advance by the sponsor.

Retroactive Cost Transfers
The federal guidelines for cost transfers state, "any cost allowable to a particular research agreement may not be shifted to other research agreements in order to meet deficiencies caused by overruns, to avoid restrictions, or for other reasons of convenience." (A-21, Section C.4.b) As a result, the OSP must screen all requests for transfer of expenditures to ensure compliance with these regulations. Federal regulations normally allow such transfers only within ninety (90) days of the original encumbrance.

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When applying for a retroactive costs transfer (if it is allowable and within the granting period), send a Cost Transfer Form to OSP requesting the transfer. The form must contain all details pertaining to the transfer. In addition, a full explanation and reason for the transfer should be given.

Salaries and Wages

Salaries and wages are allowable as a direct cost to the extent that they are reasonable and conform to the established University salary and wage policy. All personnel involved in a sponsored project's effort, whether faculty, staff, or students (research assistants), must be paid in accordance with University, Federal and State regulations. Administrative and clerical salaries are generally not allowed as direct charges to a federal sponsored project. OSP staff can assist in determining when this may be allowable. The salary and wage categories and job or position classifications on sponsored projects must be congruent with those established for all other employees of the University. Salary rates and increments are therefore subject to the regulations applied to all other University employees of the same classification. Exceptions usually result in audit disallowances.

Federally-imposed Caps on Salary Reimbursements: Some sponsors impose limits or "caps" on the allowable charges for direct labor of program staff. For example, the salary cap for Department of Health and Human Services agencies for Executive Level II. The salary charged to the NIH or other Public Health Service (PHS) agencies must not exceed this cap.

Salary and wage rates contained in a proposal, including projected increases, are budgetary figures. All personnel commitments are handled in conformity with established University salary and wage policies. Budgetary data contained in a proposal does not in any way supersede such policies.

All University personnel must be paid through the University payroll system. In addition, all students that are enrolled at the University and are being paid for services rendered must be paid through the University payroll system.

Overloads

Explicit sponsor approval ordinarily is required for overload to be charged to grants or contracts. This is obtained either by disclosure in the application submitted and awarded, or requested post award by the OSP on behalf of the PI.

OSP reviews, approves, and if deemed appropriate forwards to the sponsor for prior approval proposed overload of exempt or key personnel to be charged on grants to ensure that the activities are unrelated to the employee's job description, if such overload was not explicitly included in awarded application.

Leave Benefits

Personnel paid from a sponsored program account receive the same leave benefits as personnel paid from other University funds. Faculty and graduate assistants/associates on academic year appointments do not accrue vacation benefits and are not eligible to take vacation during days they are on the payroll for a sponsored program account.

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Staff and fiscal year appointees are encouraged to utilize accrued vacation before the program's termination date. If the contract or grant does not have sufficient funds to pay the accrued vacation, it is the responsibility of the employing department or cost center to provide the necessary funding. It is the responsibility of the principal investigator to ensure that these employees accurately report their vacation time prior to the project's expiration.

Space Rental
In some cases a University department, school, or center may require rental space to house a sponsored project. If off-campus space is required, the OSP must be contacted early in the proposal stage to assure that University and State regulations are followed.

Stipends
Stipends for fellows and trainees are permissible only on training or fellowship grants. Individuals working on research projects are considered employees and their effort must be reflected on the time and effort certification report.

Subawards

Subaward means an award of financial assistance in the form of money, or property in lieu of money, made under an award by a recipient to an eligible subrecipient or by a subrecipient to a lower tier subrecipient. The term includes financial assistance when provided by any legal agreement, even if the agreement is called a contract, but does not include procurement of goods and services. Subrecipient means the legal entity to which a subaward is made and which is accountable to the recipient for the use of the funds provided. The term may include foreign or international organizations (such as agencies of the United Nations) at the discretion of the Federal awarding agency.

For any potential subrecipient included in the proposal budget, the following information must be routed with the proposal: statement of work, detailed budget, budget justification, signed Letter of Intent and the institutions or organizations F&A rate agreement.

Travel
Travel expenses are allowable if authorized and in direct support of the project. All travel reimbursements, both to University and non-University employees, are subject to Sponsor and University policies except in those few instances where more restrictive policies and limitations may be imposed by a specific award. Federal travel regulations will apply when required by federal contracts (see Sponsored Research Travel).

Utility Services
Utility costs, such as heat, light, water, air conditioning and local telephone service are recouped through the indirect cost rate and are not considered as direct costs. In unusual

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circumstances, where inordinate amounts of such services are required for a project, it may be appropriate to direct cost these items.

Indirect Cost Recovery
Indirect costs recovered on any sponsored project will be split 50/50 between the originating college of the project and OSP/OAA.

Sole source

The University conducts free and open competition for procurement of goods and services to the maximum extent practicable, and expects University employees to follow competitive procedures where applicable.

The University has also set dollar thresholds under which it considers competitive sourcing not practicable:

- For most goods and services that are non-construction related and under $2,500, competitive sourcing is not required.
- For consultant agreements under $25,000 competitive sourcing is not required

For goods and services that are above the dollar thresholds for which competitive sourcing is considered practical, University employees are expected to use a competitive procurement process. At lower dollar amounts and for less complex purchases the standard competitive procurement process is the obtaining of a bid from three separate vendors. At higher dollar amounts and for more complex purchases the standard competitive procurement process is the solicitation and review of more detailed proposals from three separate vendors.

There are circumstances under which someone might seek exemption from competitive procurement processes for the purchase of goods and services over the established thresholds. Examples include, but are not limited to:

- Products or services can be obtained from only one person or firm
- Competition is precluded because of the existence of patents, copyrights, confidential processes, proprietary information or other such conditions
- When competitive bids are solicited and no responsive bid is received
- When a provider of services has unique qualifications
- Continuation of work
- Need for specially designed replacement parts or specialized technology

In these circumstances, the person in the school or department seeking to purchase the goods or services must provide justification for the sole or single source procurement decision. The University has approved a limited set of criteria for sole/single source procurement, and the justification must meet at least one of those criteria.

When the value of the goods or services being purchased is over $25,000, the Sole/Single Source Justification Form must also be signed by a Dean and Vice President. By signing

they are acknowledging their support of the exception request and through his/her signature is attesting that he/she considers the request appropriate and policy compliant.

A person requesting sole/single source procurement is also required to be in compliance with the University's conflict of interest policy and any obligations set forth by the policy.

Without the completion of the Sole/Single Source Justification, including the valid identification of an acceptable criterion, supporting documentation and the sign-off by the appropriate senior officer for purchases over $25,000-- the Business Office will not process the request.

Responsibilities

Principal Investigator

- The PI who seeks to purchase goods or services through a sole or single source process must complete the Sole/Single Source Justification Form, as well as the Conflicts of Interest Form, if applicable.
- PI forwards form to Dean for signature

Dean of College

- The Dean in the school or department of the person requesting the sole/single source purchase must sign-off on the Sole/Single Source Justification Form for purchases of goods and services over $25,000. This senior officer is acknowledging his/her support of the exception request and through his/her signature is attesting that he/she considers the request appropriate and policy compliant.

Office of Sponsored Projects

- OSP reviews Sole/Single Source Justification Form, as well as the Conflict of Interest Form and has the responsibility to ask any necessary follow up questions, clarify any items that are not clear and to ensure the sufficiency of information provided.

Business Office Grants Accountant

- Enter requisition and retain documentation for audit purposes.

3.12.6 Debarment and Suspension

Purpose

The purpose of this policy statement is to set forth the University's policy and procedures with regard to ensuring that HPU does not participate in covered transactions with persons or parties who are debarred or suspended or who are voluntarily excluded from participation in federal projects.

Definitions
For all federal grants and contracts (excluding awards for Federal Financial Aid), the following definitions will apply:
Covered Transaction – Any of the following nonprocurement or procurement transactions are subject to these provisions:

- Nonprocurement transactions – All of the following are considered covered transactions:
  - Grants
  - Cooperative Agreements
  - Contracts

Nonprocurement transactions do not have to involve the transfer of federal funds.

- Procurement transactions involve the purchase of goods or services with federal funds. A contract for goods or services is considered a covered transaction if any of the following apply:
  - The contract is awarded by a participant in a covered nonprocurement transaction and the amount of the contract is expected to equal or exceed $25,000,
  - The contract requires the consent of the federal awarding agency,
  - The contract is for federally required audit services

Policy
In the event that HPU will participate in a covered transaction as defined above as part of its federally sponsored agreement, the Office of Sponsored Projects will ensure that the subrecipient(s) and/or vendor(s) are not debarred, suspended or voluntarily excluded prior to issuing a subaward or executing an agreement for goods and services in accordance with 2 CFR Part 180.

Procedures
If HPU has a subrecipient relationship with another organization or institution under a federally sponsored award where HPU is the prime recipient, HPU's Subaward Agreement will be issued and include the terms of the prime award. The subaward agreement includes additional certifications and assurances to include a certification regarding debarment and suspension. By signing the subaward agreement, the subrecipient agrees to comply with 45 CFR part 76 and certifies that neither the organization nor its principals are presently debarred, suspended, proposed for debarment declared ineligible, or voluntarily excluded form participation in this transaction by any federal department or agency.

If HPU intends to procure goods or services equal to or greater than $25,000 as part of a federally sponsored award, the Office of Sponsored Projects must check the General Services Administration's Excluded Parties List System (EPLS) to determine if the vendor is listed prior to approving the requisition. A search can be conducted on the EPLS website: http://www.epls.gov/ . A screen print of the search should be printed and maintained in the grant file for documentation of the verification.

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3.12.7 Sponsored Research Travel

General Guidance

Most sponsors will cover reasonable and necessary travel costs incurred by the project personnel for travel that is directly related to the activity being funded. University travel regulations govern travel performed with project funds. In some instances a particular contract or grant may specify travel regulations different from the University policy and these take precedence.

All travel should be approved in advance. A formal travel authorization via Travel Request Form (TRF) must be completed and approved prior to travel.

Budgeting Travel in Proposals

Many agencies request specific cost information for each proposed trip, including a narrative justification describing the travel to be taken. When budgeting travel you should include destination, number of trips planned, number of travelers, airfare, lodging, meals, ground transportation, conference fees, and other costs allowed to be reimbursed. If mileage is to be paid, provide the number of miles and the cost per mile. The standard mileage rate for the use of an automobile for business purposes will be based on the current IRS mileage rate.For travel for both federal and non-federal awards, the University uses an actual cost basis. Travel meals may be budgeted for and will be reimbursed based on the actual cost to the traveler.

Fly America Act

The Federal Travel Regulations, 41 CFR 301-10.131 to 301-10.143, titled "Use of United States Flag Carriers", more commonly known as the “Fly America Act”, requires that all air travel paid for with federal funds must be on a US flag carrier or a US flag carrier service provided under a code-share agreement, except under specific situations (see http://www.gsa.gov - Search “airlines open skies agreement.”)

When booking international travel, the Principal Investigator of the award to be charged is responsible for complying with the Fly America Act. The cost of travel subject to the Fly America Act that does not adhere to this regulation will be borne by the Principal Investigator's department, will need to be moved to a suitable non-federal funding source, or may be the responsibility of the traveler if not approved beforehand.

To easily ensure compliance with the Fly America Act, purchase all airline tickets for international travel that will be charged to a federal grant thru a US flag carrier (Delta, American, United, etc.) or use a travel agency for your booking. International Airfare booked on a US flag carrier service will not require an exception.

NOTE: Many travel agents are not familiar with this regulation, so confirm that the travel agent is aware that the travel is federally-funded and must adhere to this Act.

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There are some exceptions are permitted under the Fly America Act. All exceptions must be documented prior to travel and pre-approved by the OSP. In no case is the use of a foreign air carrier justified because of cost, convenience, or traveler preference.

Exceptions are listed as follows:
If a U.S. flag air carrier offers nonstop or direct service (no aircraft change) from your origin to your destination, you must use the U.S. flag air carrier service unless such use would extend your travel time, including delay at origin, by 24 hours or more.

If a U.S. flag air carrier does not offer nonstop or direct service (no aircraft change) between your origin and your destination, you must use a U.S. flag air carrier on every portion of the route where it provides service unless, when compared to using a foreign air carrier, such use would:

- Increase the number of aircraft changes you must make outside of the U.S. by 2 or more; or
- Extend your travel time by at least 6 hours or more; or
- Require a connecting time of 4 hours or more at an overseas interchange point.

For travel outside the U.S., if a U.S. flag air carrier provides service between your origin and destination, you must always use a US flag carrier for such travel unless, when compared to using a foreign air carrier, such use would:

- Increase the number of aircraft changes you must make en route by 2 or more; or
- Extend your travel time by 6 hours or more; or
- Require a connecting time of 4 hours or more at an overseas interchange point.

If an exemption is needed:

1. Contact the OSP for approval (include your department, phone number, email) and provide a copy of your itinerary.
2. OSP will send an approved/disapproved exception back to the PI.

Documentation of the exemption will need to be kept on file in the department and a copy should be included with the Travel Expense Report when submitted to the OSP.

Traveling with Equipment Outside of U.S.
Check with the OSP at least 60 days before traveling with equipment outside of the US to avoid any export licensing issues. Best practice for international travel with a laptop is to not have specialized software installed and to not contain unpublished data or research.

3.12.8 Equipment Guidelines Equipment is defined as an article of nonexpendable, tangible personal property having a useful life of more than one year and an acquisition cost equal or greater than $5,000.
The sponsoring agency's award may include provision for the acquisition of special-purpose equipment. The equipment in some cases may be supplied directly by the sponsoring agency, in which case title to the equipment generally remains with the

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agency, and it must be returned at the completion of the project. In the majority of cases, the approved equipment is purchased through the University.

Sponsors will sometimes impose unique administrative requirements for property management. All equipment purchases are subject to the terms and conditions of its corresponding award. All persons responsible for purchasing equipment with external funds should be aware of award terms and conditions.

Approval from the sponsor is generally required prior to acquistion of the equipment. If approval is not specifically shown in the award document or the approved proposed budget, approval must be obtained in accordance with sponsor requirements. The Principal Investigator is responsible for certifying that sponsored funds are available and the equipment will be used primarily or exclusively for the purposes of the sponsored research.

Charging Equipment to a Sponsored Project

Equipment purchases are made under the University Procurement Procedures and should be timed for delivery and used before the project termination date.

- If a piece of equipment will be used for work under a sponsored project, that piece of equipment can be charged to that sponsored project based on the principle of allocability.
- If the equipment is being utilized for other purposes, whether sponsored or non-sponsored work, then the equipment cannot be charged in entirety to any one sponsored project. The PI must determine, based on reasonable methods, how to allocate the charge of the equipment and ensure the accounting records represent this allocation. The method must be based on actual usage and must be consistently applied in like circumstances.
  It is recommended that units maintain usage logs for shared equipment - logs which track who utilized the equipment, how the equipment was used and for how long.

Responsibilities

For equipment purchased on Sponsored Projects, property control and record keeping responsibilities include the following:

As custodian of the equipment, the principal investigator is responsible for:

- Safeguarding and maintaining equipment in good repair.
- Promptly notifying the OSP if sponsor-owned equipment becomes surplus, lost, stolen, or missing.
- Promptly notifying the Business Office of any change in the location of the equipment.

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The Business Office is responsible for:

- Tagging all capital equipment with the appropriate property control tags as appropriate and recording specific information such as description, model, location, serial number, etc., as required by OMB Circular A110.
- Maintaining the capital asset records on an accurate and up-to-date basis.
- Periodically conducting an independent physical verification of all capital and sponsor-owned equipment and adjusting the capital asset records based on their findings, as required by OMB Circular A110.

The Business Office should keep the following in the permanent Purchase Order file:

- Purchase Requisition
- Purchase Order
- Bids obtained
- Sponsored Programs' approval, and any other special approvals.

The Office of Sponsored Projects is responsible for:

- Coordinating with the Business office to ensure that the University's capital asset records are accurate and up-to-date.
- Notifying appropriate sponsors of any sponsor-owned equipment that becomes surplus, lost, stolen, or missing.
- Expediting the disposal of sponsor-owned equipment according to the requests of the sponsor in coordination with the principal investigator and the Business Office.
- Submitting property reports to sponsoring agencies as required by the award document.

Equipment Inventory

Units should maintain an equipment inventory log to document current University equipment in the unit as well as document the disposal, sale or transfer of any University equipment. Because the University's main equipment inventory covers only capital equipment, it is recommended that units maintain their own equipment inventories for non-capital equipment such as computers.

3.12.9 Cost Sharing

When the university shares in the cost of conducting sponsored projects those costs are called “cost sharing.

It is university policy not to allow cost sharing on federal sponsored agreements unless it is required by federal statute for that purpose, and the sponsor approves the costs in writing. In situations where cost sharing on federal awards is allowed, all costs identified as cost sharing must be: (1) verifiable from the university’s records; (2) necessary and reasonable for proper and efficient accomplishment of the project or program objective; and (3) allowable under the federal cost principles and administrative regulations established in OMB Circulars A-21 and A-110.

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Cost sharing on non-federal awards is generally allowed, can be from any source unless the terms of the award provide differently, and are subject to the terms and conditions of the specific award.

Cost Sharing of Direct Costs

Direct costs are those that can be identified specifically to a particular sponsored project, instructional activity, or other institutional activity, or that can be directly assigned to such activities relatively easily with a high degree of accuracy. Cost sharing of direct costs occurs when costs are incurred for a sponsored project but paid (funded) from either university funds or another allowable source of funds (such as a separate non-federal sponsored award) rather than from that sponsored agreement. The funding source to be charged for any direct cost sharing must be provided at the proposal submission stage and must be approved by the Associate Vice President of Academic Affairs & Research, Chief Financial Officer and Vice President & Provost of Academic Affairs. The university does not generally cost share direct costs on sponsored programs unless this cost sharing is mandated by the sponsor or the cost sharing is an evaluation factor in the award making process.

Facilities and Administrative (Indirect) Cost Sharing

Indirect costs are those costs that are incurred for common or joint institutional objectives and therefore cannot be directly attributed to a particular sponsored project, an instructional activity, or other institutional activity. The applicable indirect cost rate negotiated with the university's cognizant federal agency is the standard indirect rate for all covered sponsored agreements, regardless of funding source. Indirect cost sharing occurs when the university agrees to accept less than the federally negotiated indirect cost rate on an award. The university does not cost share indirect costs on sponsored programs unless this cost sharing is specifically mandated by the sponsor. This cost sharing must be approved at the proposal submission stage by the Associate Vice President of Academic Affairs & Research, Chief Financial Officer and Vice President & Provost of Academic Affairs.

Criteria for Cost Sharing of Direct Costs

All costs categorized as cost sharing MUST be:

- Allowable in accordance with the principles of OMB Circulars A-21 and A-110; and
- Necessary, reasonable and allocable (i.e., directly related to the project objectives) as specified by OMB Circular A-21; and
- Verifiable and accounted for in the University's accounting records; and
- Provided for in the approved budget, when required by the awarding agency.

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In addition, cost shared expenses MUST NOT be:

- Expenses that are already included under another sponsored project as cost sharing; or

- Paid by any federal sponsor under another agreement, unless authorized by federal statute for that purpose and the sponsor approves these costs in writing.

Federal regulations do not allow the following types of expenses to be used as mandated direct cost sharing:
• Administrative and clerical staff salaries or wages, including associated fringe benefits, or any other costs that are classified as indirect costs according to OMB Circular A-110.
• Salary dollars in excess of statutory or regulatory salary caps, such as the National Institute of Health (NIH) salary cap. (These costs are, however, booked as cost sharing in order to comply with other NIH reporting requirements and Effort Reporting requirements. Essentially, the university is required to pay the cost of salaries over the cap on NIH grants, but cannot take "credit" for doing so.
• Unallowable costs, as defined by OMB Circular A-110 and other applicable provisions.

Types of Cost Sharing

Mandatory, Committed, and Voluntary Direct Cost Sharing
Cost sharing is classified as either mandatory, committed or voluntary.

• Mandatory Cost Sharing is a firm requirement for cost sharing identified by the sponsor in the program guidelines or other written communication from the sponsor.

• Committed Cost Sharing is an implied willingness for the university to bear certain project costs contained in the proposal submitted to the sponsor. The commitment is not a requirement imposed by the sponsor.

Both mandatory and committed cost sharing must appear in the proposal and award budget. Once an award is made, the university is required to document that the amounts specified as cost sharing in the budget have actually been provided. University expenditures for mandatory cost sharing must also be included in all the financial reports submitted to the sponsor. University expenditures for committed cost sharing must also be included in the financial reports if required by the sponsor. Both mandatory and committed cost sharing necessitate separate tracking in the accounting system, in the effort reporting system (for cost sharing of salaries and wages), and in the indirect cost rate calculation. Mandatory and committed cost sharing for any sponsored agreement will be accumulated in the University's financial system in a separate "award" that is institutionally funded. Cost shared expenditures will be accounted for by actual expense.

• Voluntary cost sharing is neither a sponsor requirement nor a university commitment but represents additional costs incurred by the university beyond the levels in the proposal and/or award documents. Voluntary cost sharing is not specifically quantified in the proposal submitted to the sponsor.

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• Federal regulations do not require the university to document voluntary cost sharing.

Monitoring Cost Sharing

Cost sharing documentation should be prepared contemporaneously with program progress. Projects should not wait until the project is over to identify the associated cost sharing. It is the responsibility of the Principal Investigator to initiate transactions identified as cost sharing on sponsored research projects. Monitoring of cost sharing on sponsored research projects is the responsibility of the OSP.

3.12.10 Subrecipient Monitoring

A subaward is a formal written agreement made between HPU and a "Subrecipient" (as defined below) to perform a portion of the Statement of Work under an HPU sponsored project. When a defined portion HPU's award (prime award) includes collaborative work with another organization or institution a Subaward agreement is issued by HPU. Each subrecipient must have its own PI responsible for the subrecipients' programmatic decision making to carry out the goals and objectives included in HPU's prime award. A subaward must include a clearly defined, intellectually significant Statement of Work (SOW) to be performed by the Subrecipient. The Subrecipient's SOW is performed by its personnel, using its own facilities and resources. Work is usually performed at the Subrecipient's site. The Subrecipient takes full responsibility for adhering to the terms and conditions of the subaward (including those flowed down from HPU's sponsor), and assumes creative and intellectual responsibility and leadership as well as financial management for performing and fulfilling the Subrecipient's SOW within the Subrecipient's approved budget.

Subawards differ from procurement contracts used to acquire goods or services from vendors.

A subrecipient is a non-HPU entity that expends awards received from HPU to carry out a portion of HPU's programmatic effort under a sponsored project. The Subrecipient may be another educational institution, an independent laboratory, a foundation, a for-profit corporation, a non-profit corporation or other organization, and may be a domestic or foreign entity. Generally, HPU does not issue Subawards to individuals. For both federal and non-federal sponsored projects, HPU adheres to the federal governments definition of a Subrecipient as defined in OMB Circular A-133, Section 105.

Subrecipients must comply with the terms and conditions of the subaward agreement, including terms and conditions that flow down from HPU's prime award, as well as compliance approvals, regulatory requirements, and cost sharing commitments, if applicable.

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The OSP is responsible for maintaining internal controls necessary to minimize risk and ensure successful collaboration and compliance. OSP performs the following functions pertaining to subawards:
• Issues 'Annual Subrecipient A-133 Certification Letter' to all subrecipients' and reviews subrecipients' annual A-133 audits
• Establish guidelines and controls to mitigate risk if any
• Implement corrective action plan if necessary

OSP is responsible for processing of subaward agreements, including drafting, issuance, execution and distribution of subaward agreements and modifications as required. All subawards must include the following minimum information: scope of work, budget and justification, period of performance, payment terms, technical and financial reporting requirements, prime award information, sponsor terms and all compliance requirements. Subaward agreements require final approval and signature of Vice President & Provost of Academic Affairs.

Subaward Monitoring
The PI has the primary responsibility for fiscal and technical monitoring of his or her subawardee; however, many other offices also play a significant role in subawardee monitoring as delineated below.

The role of the PI includes understanding terms and conditions of the subaward and the following:
• monitor scientific progress,
• review and approve invoices to ensure expenses are appropriate for work being performed

The role of OSP includes the following:
• Review invoices, verify PI approval and allowability of expenses, approve for payment
• Ensure costs are pursuant to terms of subaward
• Obtain clarification and detailed documentation for charges.

3.12.11 Effort Reporting

Background

The United States Office of Management and Budget issued OMB Circular A-21 (A-21), Cost Principles for Educational Institutions. A-21 contains regulatory requirements for acceptable methods of certifying time worked on sponsored projects. A-21 requires universities to maintain effort-reporting systems (time certifications) for employees working on federal projects.

The effort reporting system provides the principal means for certifying that salaries and

wages charged to sponsored projects are consistent with the effort actually spent working on the projects. Time certifications represent a reasonable estimate of an employee's effort. OMB A-21 states, "In the use of any methods for apportioning salaries, it is recognized that, in an academic setting, teaching, research, and administration are often inextricably intermingled. A precise assessment of factors that contribute to costs is not always feasible, nor is it expected. Reliance, therefore, is placed on estimates in which a degree of tolerance is appropriate."

As a recipient of sponsored funds, HPU must assure that the proposed effort commitments are fair, reasonable, and timely. Salaries and wages should also be budgeted commensurate with the proposed level of effort charged to the program and managed consistently across the institution. The management of effort commitments requires communication and coordination among offices within HPU.

Understanding of Effort

Effort is measured as a percent of the individual's total University employment obligation. Percent effort represents the proportion of time an individual spends on each University activity and is expressed as a percent of the individual's total University activity. Total University activity = 100% effort. The percent effort is not based on a typical 40-hour workweek. Total University effort is 100% whether a typical work week is 20 or 60 hours. Total effort may not exceed 100% and should include only those activities for which an individual receives University compensation, including work performed on sponsored projects, whether reimbursed by a sponsor or University funded.

Cost Sharing occurs when the University "shares" a portion of a sponsored project's costs. Cost sharing can take many forms, including payroll. For effort reporting purposes, cost sharing is effort committed in a proposal where all or part of the funding for that effort is not provided by the sponsor. In such a case, the percentage of salary charged to a sponsored project is less than the percentage of effort devoted to that project; the difference represents cost sharing. This effort must be reported on the Time and Effort Report (OSP-7).

Purpose of Policy

It is the University policy to comply with OMB Circular A-21 requirements for certifying time spent working on sponsored projects. Therefore HPU faculty and staff are required to follow this Effort Reporting Policy. Employees must certify effort if they perform a sponsored activity or are compensated by cost sharing related to sponsored activity. The University will use an "after the fact" reporting system where the distribution of salaries and wages will be supported by activity reports called TER (Time and Effort Report).

This policy provides requirements and guidelines for time and effort reporting and management of effort commitments for all sponsored programs, federal, state, and private, at HPU,

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Policy

The University policy requires a Time and Effort Report to be completed by each individual (faculty, professional staff or graduate assistant) who has been involved with an externally sponsored program during the certification period and should account for 100% of a person's effort. Each department has primary responsibility for compliance with this standard. PI's and other department personnel are responsible for ensuring salaries charge appropriately and that the TER form reasonably reflects the percentage distribution of efforts expended by faculty and professional staff involved in federally-funded and state-funded grants, contracts and cooperative agreements.

University Payroll System and Effort Reporting

An effective effort reporting process is closely tied to an effective salary distribution process. In order for grants and contracts to be properly costed, salary distribution to and among sponsored projects and non-sponsored activities must remain consistent with effort reporting. Payroll must be set up timely according to planned effort driven by effort commitments on sponsored projects and non-sponsored activities. Additionally, if after-the-fact effort certifications disclose that actual effort was different than planned, then salary distributions should be timely reconciled to the after-the fact effort certifications. Payroll and effort distributions are not the same thing; payroll distributions describe the allocation of an individual salary, while effort distributions describe the allocation of an individual's activity to individual projects independent of salary. HPU's effort certification process relies on payroll distributions to provide a general reminder of the projects on which an individual's salary was charged during the certification period. Individuals completing effort reports are required to identify other areas where they provided effort with no salary support (cost sharing) and to ultimately report the appropriate distribution of effort over all activities.

Frequency of Certification

On a regular basis (every six months and separately for 9-month faculty with summer compensation) a time and effort report form will be generated by the OSP for faculty, managerial and professional, clerical and technical staff whose compensation was charged in whole or in part to a sponsored project during the respective effort period. These effort report forms must be completed, certified, and submitted within a defined deadline. Hourly Staff completes monthly time cards to certify their time and effort.

Who Should Sign the Certification Report

OMB Circular A-21, Section J.10 requires that the certification report be signed by "the employee, principal investigator, or responsible official(s) using suitable means of verification that the work was performed."

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Effort certification reports are signed by the employee and the principal investigator or other responsible official to confirm that all activities (sponsored and non-sponsored) are reported correctly and that the distribution of effort shown on the certification report reflects a reasonable estimate of the percentage of total effort that was spent on each activity.

Signing the report confirms that effort, as certified, reasonably represents the effort expended during the period. The report must be completed and returned within the defined deadline.

Changes to Time and Effort Reports during Certification

- If, at the end of a certification period, the effort percentage reflected on the certification is not a reasonable estimate of the employee's effort, the percentage should be crossed out in ink with the correct percentage written in the margin.
- OSP will adjust salary charges accordingly where the certified time and effort differs significantly from the payroll distribution.
- Salary charged to a sponsored project must never exceed the amount of actual time and effort devoted to that project.
- If a change in time and effort indicated on the Time and Effort Report requires approval by the sponsor based on the terms and conditions of the agreement, OSP will contact the PI.
- If there are no changes or when any additional actions are complete, the Time and Effort Report is filed in the Office of Sponsored Projects.
-

Responsibilities

Payroll

- Provides payroll data used in evaluating that University's accounting records are consistent with certified effort and are the basis for actual distribution of 100% percent effort.

Human Resources

- Has responsibility for updating employee contract information into the University's accounting system (Banner), reflecting changes in grant-related personnel requests in an accurate and timely fashion.

Office of Sponsored Projects

- Calculates percent effort by category based on payroll information and enters on TER

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- Distributes TER to Principal Investigator for all participants on their sponsored project
- Review certified TER for a significant change in effort
- Retains all Effort Certification Reports
- Monitors Principal Investigators' compliance with effort reporting requirements
- Supports audit and other inquiries regarding the University's effort reporting process
- Develops and monitors all policies, procedures and training materials for effort reporting
- Conducts reporting training sessions

Principal Investigators

- Monitor their own effort and that of other key personnel listed on their awards to ensure that effort commitments are being metNotify OSP of significant changes in effort throughout the year.
- Review appropriate documentation to insure that charges to Sponsored Projects are consistent with the effort devoted to those projects.
- Ensure that the University's accounting records are consistent with certified effort by completing the Salary Cost Transfer Request form (OSP 11) if there is a significant change in effort and documenting cost sharing.
- Certify their own percent effort.
- Certify other employee's effort on Sponsored Project, where appropriate, using suitable means of verification
- Supports and endorses cooperation with the University's compliance and monitoring efforts related to effort reporting

Deans, Department Chairs and/or Administrators

- Reviews and certifies Time and Effort Reports for faculty who are on sabbatical, or who are otherwise unavailable for signature.
- Supports and endorses cooperation with the University's compliance and monitoring efforts related to effort reporting

<u>Key Personnel Requirements for Change in Effort</u>

For federally sponsored grants, if the PI or key personnel specifically named in the Notice of Award will reduce time devoted to the project by 25 percent or more from the level that was approved at the time of award or will be absent for more than three consectuctive months, prior approval must be obtained from the federal awarding agency. In accord with OMB Circular A-21, any significant change in work activity for the PI or key personnel who are listed on the Notice of Award from the agency must be approved prior to the change and in writing by the sponsor's Grants Officer. It is not sufficient to simply communicate the change to the Program Officer. PI's should notify the OSP regarding any changes that fall under this category. OSP will mainatain a log of applicable key personnel effort requirement listed on the award document.

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Non-compliance

Failure to follow the provisions of this effort reporting policy may subject the individuals and departments responsible for the violation(s) to administrative and/or disciplinary actions in accordance with University disciplinary procedures and the judgment of management. Specifically, and without limitation,

- If effort reports are not completed and returned in a timely manner, salary costs associated with uncertified grant activity may be removed and charged to a departmental account.
- OSP may suspend submission of any new proposals on behalf of a noncompliant PI, or inclusion of a noncompliant researcher in proposals, until effort reports are up to date and properly completed and certified.
- Certification of effort reports that are known to be materially inaccurate may expose the individual who completed the reports to personal disciplinary action.

Definitions:

Cost Sharing: Mandatory or voluntary effort expended on one project and paid for by another funding source. Certain sponsors require mandatory cost sharing at the time of application and this must be verified in the effort reporting system. Voluntary Committed Cost Sharing represents effort that was committed to the sponsor above the percent of payroll charged to the project. This must be verified during the effort certification process. Voluntary Uncommitted Cost Sharing represents effort expended above any commitments to the sponsor and is not required to be certified in the effort reporting system.

Effort: Work or the proportion of time spent on any activity and expressed as a percentage of total time. The effort reports are intended to record the total effort an individual expends as an employee of Hawai‘i Pacific University.

Effort Reporting: Effort reporting encompasses a number of processes including committing effort, tracking effort applied to the various activities performed, adjusting effort based upon actual time spent, and certifying that the effort is accurate and reflects the work actually performed on the projects during the reporting period.

Institutional Base Salary: The annual compensation paid by Hawai‘i Pacific University for an employee’s appointment, whether that individual’s time is spent on research, teaching, patient care, or other activities.

NIH Salary Cap: A salary limitation established by NIH in its Annual Appropriations Act. NIH will not reimburse grantees for salaries at a rate in excess of the level specified in the appropriation language.

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3.12.12 Closing an Award

Procedure:

Finishing a grant project is just as important as starting one. In many cases, the way in which close-out procedures are handled, such as timely submission of final reports and the quality of those reports, can have a direct effect on the chances for future funding.

Principal Investigator's Responsibilities

There are several areas of management that need particular attention of the PI at the close of a funded project:

- **Budget:** Review encumbrances and liquidate those no longer needed. Banner accounts will be closed soon after the grant's ending date, so inform staff that no more changes can be made against the grant account.

- **Personnel:** Complete termination paperwork for all staff and, if required, payroll changes for those staff transferred to other cost centers or to the new grant number assigned to a continuing grant. Ensure that Time and Effort Reporting for the project is complete and accurate.

- **Purchasing activities:** Verify that all costs charged to the project are allocable, allowable and reasonable per A-21 guidelines. If a correction is required, work with the OSP to complete corrections. Make sure all goods and services have been received prior to the end of the grant, although payment may occur soon after the end of the grant. Provide a list of pending payments to the Grants Manager for inclusion in the Final Financial Report to the agency.
  Make arrangements for transfer, removal, or reassignment of the telephones. Check and reconcile bookstore charges. Match equipment purchases with requisitions and check receipt of items. Contact OSP about the disposition of grant-funded capital equipment.

- **Cost Sharing (if applicable):** The PI must ensure that the mandatory or voluntary committed cost sharing on the award has been met. Sufficient documentation for "in-kind" or "third party" cost sharing must be forwarded to the OSP for review; approval and inclusion in the final financial report submitted to the granting agency.

- **Subaward (if applicable):** Upon termination of a subaward the PI must ensure that all deliverables are satisfied and invoices are received from the sub-recipient prior to the release of the final payment.

- **Grant files:** The PI should review grant documents, personnel records, purchase orders and requisitions, and budget records, including necessary documentation for changes, making sure that the files contain documentation showing the project achieved each objective. If the scope of the project changed after the initial

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negotiation, the PI must have written documentation approving the change(s). The PI should remember that auditors are the ones who may be reviewing these documents next. Finally, the PI should arrange for appropriate storage of grant files if the project is not a continuing one.

- **Final reports:** The PI will prepare the narrative technical reports, double and triple check publications to be certain that the funding source is credited before printing is approved. Reports should conform to funding agency guidelines and use technical writing manuscript standards. A report narrative will usually require responses to each proposed outcome. Comments should be substantiated with evaluation data and statistics. Outcomes that are not accomplished should be explained. Copies of narrative reports should be sent to the OSP as OSP does review them to ensure deliverables stipulated on the award contract were met.
  If the project resulted in an invention, the necessary disclosure must be made to the University and the agency (see Intellectual Property Policy). Contact the OSP for further information.

Office of Sponsored Projects Responsibilities

Financial reports are prepared by the Business Office, in cooperation with the OSP. Information will be requested from the Principal Investigator as needed by those offices. The OSP will report on the budget expended to date and on any applicable cost sharing. The OSP will review the Terms of Award and ensure that all deliverables are submitted by the designated due dates including Final Technical Reports, Final Invention Statements, and Property Reports.

Fixed Price Contracts and Residual Funds

Upon completion of the work to be performed under a fixed-price contract/grant, the Principal Investigator must provide the following information to the OSP:

- Substantiation that all work required under the contract/grant has been completed
- Confirmation that no outstanding expense items remain open or in question with the sponsor
- Certification that all required deliverables and reports have been provided to and accepted by the sponsor

The final account balance will be determined only after the final payment from the sponsor has been received, all salaries and outstanding invoices have been paid, and all F&A costs have been recovered by the University.

In the event that the Principal Investigator completes the required work for less than the contract/grant, the residual funds will be transferred to a General Fund in the OSP, and be used to allocate for any permissible use in support of the research, education, or public service missions of the University. Funds will be split 50%/50% between OSP to cover F&A costs and the College holding the contract to be used for the aforementioned uses.

The residual funds are considered deferred revenue of the University, and F&A costs and unrelated business income tax (if applicable) will be assessed against them. The project account will be closed only after transfer of the residual funds.

Over-Expenditure of Agency Funding

The Grants Manager will reclassify over-expenditures to unrestricted departmental funds.

Disposition of equipment and excess supplies

The following summarizes the disposition guidelines of OMB Circular A-110, the University's major granting agencies and federal procurement regulation.

Disposing of Equipment Purchased with External Funds

Prior to disposing of any equipment, it must be determined if the University has any obligations to a third-party sponsor with respect to the equipment. If equipment was purchased under sponsored funding, it must be determined whether the equipment is:

- Sponsor-owned: Equipment purchases made with contract funding are generally sponsor-owned, however, in rare situations this condition may also apply to grants;
- University-owned: Most equipment purchased under grants or gifts is University-owned.

After determining who has title to equipment, it must be ascertained whether the project that the equipment was purchased for is still on-going. If the project is still on-going, the University normally has an obligation to utilize the equipment for the purposes of the project, or perhaps to make the equipment available to other federally-assisted projects.

If it is determined that the sponsored project has ended and the University retains title to the surplus property, the University may still have obligations with respect to the equipment per previous contractual agreements.

3.12.13 Records Management

Background

Federal agencies have specific requirements for the retention of research data and other documents pertaining to a sponsored project. These requirements are outlined in OMB Circular A-110 and in agency-specific websites.

Introduction

Data are created at HPU by faculty, staff, and students in the course of their scholarly activities and while conducting sponsored projects. By tradition and for practical reasons, the creators of data retain control of, access to, and use of data even though the

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University, through the requirements of external sponsors, may be required to hold title to the data. Because of the obligations accepted by the University in sponsored project agreements, the University recognizes that it has responsibilities with respect to access to and retention of data.

Research data include laboratory notebooks, as well as any other records that are necessary to reconstruct and evaluate reported results of research and the events and processes leading to those results, regardless of media. The PI is responsible for the collection, management and retention of research data. PIs should adopt an orderly system of data organization and should communicate the chosen system to all members of their research group and to the appropriate administrative personnel, as applicable. Particularly for long-term research projects, PIs should establish and maintain procedures for the protection of essential records in the event of a natural disaster or other emergency.

Purpose of Policy

This policy specifies individual and institutional rights and responsibilities concerning the access to and retention of data developed and/or used in the conduct of externally sponsored research and scholarly activity while an individual is employed by the University. It covers the rights and responsibilities of individual members of the University community, the University, and those external to the University who may have rights of access to the data. This policy has been developed in response to Federal regulation regarding the status and disposition of data developed under Federal sponsorship, and brings Hawaiʻi Pacific University into compliance with those regulations.

Policy

Grantees are required to keep intact and accessible all financial and programmatic records, supporting documents, statistical records and other records pertinent to an award. The records retention and custodial requirements extend not only to the records of the grantee, but to those of its sub-grantees, contractors and subcontractors.

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Record Retention

Per OMB A-110, Financial records, supporting documents, statistical records, and all other records pertinent to an award shall be retained for a period of three years as follows:

Type of Records	Responsible Party	Retain for three years from the date of:
General/Research records	Principal Investigator	Submission of the final or annual expenditure report.
Property and equipment	Procurement Office	Final disposition of the equipment (i.e., transfer, records replacement, sale, or junking of the item).
Cost allocation plan and indirect cost records	Business Office	Date of submission of plan to Federal Agency or for plans which are prepared and retained by the grantee, with the close of the fiscal year covered by the proposal.
Generated Income records	Principal Investigator	The end of the grantee's fiscal year in which the income was used.
Royalties and other	Principal Investigator	The end of the grantee's fiscal year in which the program income is earned *after completion* of grant

The only exceptions are the following:

- Records under audit, involving unresolved audit findings, appeals or litigation must be held until the action is completed or the dispute resolved.
- Research involving children must be retained for six years or until the child reaches 21, whichever is later.
- Research data relating to research misconduct cases must be retained for seven (7) years after final action taken.

Research data pertinent to patented inventions must be held for the life of the patent.

3.12.14 Export Control

Background

The United States government regulates the distribution of strategically important products, services, technology, software, and information to foreign nationals and foreign countries for reasons of foreign policy, national security, and protection of United States commerce under a complex matrix of regulations collectively referred to as “Export Controls.”

Principal investigators whose research or academic work involves foreign travel, training foreign nationals here or abroad in using equipment or technology, collaborating with foreign colleagues in foreign countries, shipping equipment to any foreign country, or negotiating with sponsors demanding pre-approval rights over publications or the participation of foreign national persons, need to be aware of export control regulations, as well as the University's policy and procedures regarding such research.

The regulations cover virtually all fields of science and engineering. However, they prohibit the unlicensed export of only certain materials or information for reasons of national security or protection of trade. It should be noted that the fundamental research exemption applies only to the dissemination of technical data and information, not to the transmission of material goods.

The vast majority of exports do not require government licenses, only exports that the United States government considers "license controlled" under the Export and Administration Regulations (EAR) and International Traffic in Arms Regulations (ITAR) require licenses. Export-controlled transfers usually arise for one or more of the following reasons:

- The nature of the export has actual or potential military applications or economic protection issues
- Government concerns about the destination country, organization, or individual, and
- Government concerns about the declared or suspected end use or the end user of the export

Even if an item appears on one of the lists of controlled technologies, generally there is an exclusion for fundamental research (as long as there are no restrictions on publication of the research or other restrictions on dissemination of the information) or, in some cases, as long as the research or information is made public or is intended to be made public.

Export controls regulate not only actual shipment of controlled items outside the United States, but also visual inspection in or outside the United States, and written or oral disclosure of controlled information in or outside the United States. Defined under these regulations, an export is "the transfer of controlled technology, information, equipment, software or services to a non-resident foreign person in the United States or abroad by any means." **Hence, even the disclosure of controlled information to a foreign researcher or student in a Hawai'i Pacific University laboratory is considered a "deemed export".**

Policy

Therefore, it is the policy of HPU to pursue its mission in teaching, research, and service in a manner that is consistent with the applicable U. S. export control regulations while making reasonable efforts to maximize the situations in which the University may claim the benefit of the public domain or fundamental research exemptions to the regulations.

Regulatory Authority

A. International Traffic in Arms Regulations 22 CFR 120-130
The US Department of State, Directorate of Defense Trade Controls (DDTC), is responsible for items and information inherently military in design, purpose, or use. Referred to as "defense articles," such items are found on the US Munitions List, 22 CFR 121. Spacecraft and satellites, even if not for military use, are on the Munitions List, along with their associated systems and related equipment. Information related to Defense Articles is referred to as "technical data."

B. Export Administration Regulations 15 CFR 700-799
The US Department of Commerce, Bureau of Industry and Security (BIS), has export jurisdiction over every thing in the United States, although BIS does not require a license for every export. BIS controls goods and information having both civilian and military uses by including them on the Commerce Control List, 15 CFR 774, also known as the "Dual Use List." BIS uses the term "technology" when referring to information about the goods on the Commerce Control List.

C. Office of Foreign Assets Control CFR 500-599
The US Department of the Treasury oversees US economic sanctions and embargoes through its Office of Foreign Assets Control (OFAC). Empowered by the Trading with the Enemy Act and the International Emergency Economic Powers Act, OFAC enforces trade, anti-terrorism, narcotics, human rights and other national security and foreign policy based sanctions prohibiting the provision of anything of value, either tangible or intangible, to sanctioned countries, organizations, or individuals. The pertinent regulations provide OFAC with broad authority to block or interdict vaguely defined "prohibited transactions" involving restricted destinations or parties.

Procedures:

With regard to specific research projects, primary compliance responsibility rests with the principal investigator of the research but OSP must be contacted, as early as possible, by principal investigators assessing the application of such regulations to their own planned research.

Failure to comply with federal export control laws and regulations subjects the University to fines and/or imprisonment. In addition, failure to comply with the University's export control policy and procedures may result in disciplinary action.

The OSP will conduct a thorough review of the terms of contracts or grants for provisions that restrict access to, or publication of, research and technical data that limit the participation of foreign nationals in the research effort, or otherwise render the exemptions from the export control regulations inapplicable.

If contract or grant terms, conditions, or other requirements impact the University's exemption from export control regulations, OSP will meet or otherwise communicate with the principal investigator for the research contract or grant to determine if the research falls into one of the categories designated by the Department of State or the Department of Commerce as export controlled, or if the restrictions imposed by the Office of Foreign Assets Control apply.

If the research contract or grant falls under the terms of any of these regulations, the OSP will contact the research sponsor and attempt to negotiate the removal or modification of the provisions in the contract or grant that impact the University's exemption from export control regulations. If such negotiation does not result in the removal or modification of the identified clauses, the matter will be referred to the Vice President & Provost of Academic Affairs to determine if the University will apply for an export control license, conduct the research under export control restrictions, or abandon the research effort due to the possible burdens or restrictions associated with compliance with the regulations.

If the Vice President & Provost of Academic Affairs determines that the University will apply for an export control license, internal and/or external counsel will be consulted and asked to make application for the appropriate license. No work under a contract or grant, or proposed contract or grant, can begin until this process has been completed and any required export control license has been issued.

OSP will document all correspondence, communications and decisions involved in review of a project for the applicability of export control regulations. As part of the documentation process, the principal investigator may be required to sign forms, certifications, technology control plans, and/or other relevant documentation. Original signatures will be required and the principal investigator will be responsible for making sure any signed documents are returned to OSP. Failure to do so will delay OSP processing of contracts, proposals, and account set-up.

3.12.15 Institutional Review Board and Policy on Research on Human Subjects

Policy

Many forms of research in which human beings participate as subjects must be approved by the Institutional Review Board (IRB) of Hawai‘i Pacific University (HPU). Specific exemption criteria may apply to some research (see, Exempt Review section of this policy). For research requiring IRB approval, these policies and procedures apply and approval must be obtained prior to involving subjects and prior to distributing any information or written materials to subjects. HPU's human subjects policy was developed in accordance with the Federal Policy for the Protection of Human Subjects, published in

the *Federal Register* on June 18, 1991, as a final common rule for participating federal agencies (*Institutional Review Board Guidebook* and *Belmont Report*). HPU's policy, like the federal policy, is designed to safeguard the rights and well-being of human subjects, and to ensure that the principles of respect for persons, beneficence, and justice are met by proposed activities involving human subjects.

Background

Research on human subjects serves to advance the study of human thought, behavior, and physical make up and ultimately the knowledge base of science. This positive outcome of research is defined as one form of beneficence. However, research also has potential risks and hazards to human subjects. The purpose of the Institutional Review Board is to evaluate research proposals, to determine what risks may be present for subjects, and to assess how these balance against benefits to subjects and the advancement of knowledge. The IRB requires that researchers recognize and practice the principle of respect for persons, that is, upholding their choice about whether to participate in any proposed research and their right to be properly informed about the nature and conduct of such research. Potential subjects must be given the opportunity to choose whether to participate through an informed consent process. An informed consent document ordinarily signals their awareness of the research to be performed and their understanding of the potential risk to them. In the case of minors or others not capable of giving true informed consent, their legal representative must be consulted for informed consent. The IRB will review all proposals, including informed consent documents (where applicable), to insure that the participation of subjects is voluntary and their consent is based on adequate information about the project.

The University's policy places primary responsibility for the protection of human subjects with the Principal Investigator.

Procedures

The Principal Investigator has the responsibility to bring research proposals that involve human subjects to the IRB. In accordance with federal regulations, approval of a project extends one full year from the anticipated start time. If the project extends beyond that date, the Principal Investigator must request a review 30 days prior to the end of the first and any subsequent years or permission to conduct the event will be suspended. If the project changes or there is unexpected harm to human subjects, the Principal Investigator must apprise the IRB of those changes immediately.

Scope of Authority

The IRB shall have authority to approve, require modifications in (to secure approval), or disapprove the research, and to conduct continuing review of the research at intervals appropriate to the degree or risk, but not less than once per year. The IRB reserves the right at any time to seek clarification from the investigator and/or require alteration and resubmission.

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The IRB shall have authority to require that information given to subjects as part of informed consent is in accordance with the requirements for informed consent, listed below, and if necessary for the protection of human subjects, to observe or have a third party observe the consent process and the research.

The IRB shall have authority to suspend or terminate approval of research that is not being conducted in accordance with IRB requirements or that has been associated with unexpected serious harm to subjects. Any suspension or termination of approval shall include a statement of the reasons for the IRB's actions and shall be reported promptly to the Principal Investigator, appropriate institutional officials, and the appropriate granting agency official. Suspension or termination of the research project will be immediate.

Membership

The IRB shall be comprised of a minimum of seven standing members with a quorum of five persons and alternates as the chair deems necessary: six representatives of the University (at least 5 faculty)and one community member. The University representatives (faculty or staff) and the community member are selected for three-year terms by the Vice President & Provost for Academic Affairs with input from the Faculty.

A non-voting student member may also be appointed annually by the Vice President & Provost of Academic Affairs . The members shall have varying backgrounds to promote complete and adequate review of research activities commonly conducted by the University.

The IRB shall be qualified through the experience and expertise of its members, and the diversity of its members' backgrounds. In addition to possessing the professional competence necessary to review specific research activities, the IRB shall be able to ascertain the acceptability of proposed research in terms of institutional commitments and regulations, communities and their members, applicable law, and standards of professional conduct and practice. The IRB shall include persons knowledgeable in these areas. If the IRB regularly reviews research that involves a vulnerable category of subjects, the IRB shall include one or more individuals who are primarily concerned with the welfare of these subjects. The IRB may not consist entirely of men, women, or of members of one profession.

The IRB shall include at least one member whose primary concerns are not in any scientific area, (including the social sciences), for example: a lawyer, an ethicist, or a member of the clergy. The IRB shall include at least one member who is not affiliated with the University and who is not part of the immediate family of any person who is affiliated with the University. The IRB may not have a member participating in the IRB's initial or continuing review of any project in which the member has a conflicting interest. A member with a conflicting interest will excuse herself or himself from the review of that research.

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The IRB may invite individuals with competence in special areas to assist in the review of complex issues which require expertise beyond that available on the IRB. These individuals may not vote with the IRB.

Criteria for Approval of Research

The HPU Institutional Review Board (IRB) is designed to protect human subjects of research by making decisions based upon risks and benefits. It is not to offer an opinion on the merits of a research proposal's design or execution apart from this narrow question of risks and benefits. The IRB should strive for consensus rather than a simple majority. The IRB should function as a jury ascertaining facts and applying standards rather than as a legislature representing diverse interests and creating policy. In order to approve research covered by this policy the IRB shall determine that all of the following requirements are satisfied:

1. Risks to subjects are minimized:
    a. by using procedures which are consistent with sound research design and which do not unnecessarily expose subjects to risk, and
    b. whenever appropriate, by using procedures already being performed on the subjects for diagnostic or treatment purposes.
2. Risks to subjects are reasonable in relation to anticipated benefits and the importance of the knowledge that may reasonably be expected to result. In evaluating risks and benefits, the IRB should consider only those risks and benefits that may result from the research components (as distinguished from risks and benefits subjects would experience if not participating in the research.) The IRB should not consider possible long range effects of applying knowledge gained in the research (for example, the possible effects of research on public policy) as among those research risks or benefits that fall within the purview of its responsibility.
3. Selection of subjects is equitable. In making this assessment the IRB should take into account the purposes of the research and the setting in which the research will be conducted.
4. Informed consent will be sought from each prospective subject or the subject's legally authorized representative, in accordance with the requirements for informed consent.
5. Informed consent will be appropriately documented, in accordance with the requirements for informed consent.
6. Where appropriate, there are adequate provisions for monitoring the data collected to ensure the safety of subjects.
7. Where appropriate, there are adequate provisions to protect the privacy of subjects and to maintain the confidentiality of data.
8. Where some or all of the subjects are likely to be vulnerable to coercion or undue influence, additional safeguards are required in the study to protect the rights and welfare of these subjects.

Categories of Research Review

All research involving human subjects must be submitted to the IRB. There are three categories of review: **Exempt**, **Expedited** and **Full**. The **Exempt** review determines

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whether or not the proposed research meets the requirements for Exempt status, or whether the project should be submitted for review under another category. The Exempt category does not apply to any research with children and other vulnerable subjects. The **Expedited** review is applicable in instances of renewal, minor changes in previously reviewed research and in special cases of limited human involvement with minimal risk. The **Full** review is required for all new research proposals that do not meet the requirements for Exempt status or Expedited review. **Course**

Requirement Review

Many of our courses require students to engage in research as part of the regular academic experience. While the majority of student research falls into categories which in no way may be construed as exposing subjects to more than minimal risk, HPU wants to insure that all student researchers are cognizant of the need to obtain informed consent and to protect those subjects from risk. Faculty who allow or require research projects involving human subjects should follow the procedures outlined below and should allow sufficient time for IRB review. Members of the IRB are available to meet with students or classes to discuss the process and its role in protecting human subjects. Research that has already been reviewed by the IRB of another institution is also normally determined to be Exempt.

Exempt Review

Certain categories of research which have nil or minimal risk are exempt from review by the IRB as a whole. Categories of research that are generally exempt include the following. Please see the section on Special Considerations for exceptions.

1. Research involving educational practices and outcomes, such as:
    a. institutional and internal research about the students, faculty, and staff of Hawai‘i Pacific University that involves data collection on the opinions and preferences of the University community or surveys about ways to improve University services. These projects do not require approval if they are part of the institution’s own quality control, program assessment, and effectiveness monitoring programs and do not involve material that is likely to be stressful. Examples of these include end-of-semester course evaluations, faculty evaluations by students or peers, and graduation or post-graduation surveys
    b. research on instructional strategies. Examples of these include research on the effectiveness of or the comparison among instructional techniques, curricula, or classroom management methods.
    c. educational testing as part of the assessment of an individual student, for example to identify strengths and weaknesses for course placement purposes, is not considered to be research. If possible, data in these categories should be collected without identifying information that can be tied to an individual student (e.g., name, Social Security number.) Should identifying information be collected, the confidentiality of the data should be protected. Identifying information should not be released to anyone else within the University (e.g., Alumni Office) unless students are informed of this possibility and given the right to withhold the

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identifying information. Data collection that consists entirely of material in this category does not require the submission of an IRB Project Application. The IRB Co-chairs are available for consultation if desired. Research in all other categories must be reviewed and approved, via a Project Application, before the project begins.

2. Data gathering as part of a classroom exercise which is intended to familiarize students with existing instruments and procedures or to explicate concepts presented in the classroom, and which is not designed to test a research hypothesis or answer a research question is not considered research. Therefore, it does not fall under the purview of the IRB. This may include hypothesis testing, providing the intent is a classroom exercise in which the data do not go beyond the classroom. If the exercise goes beyond the classroom and involves other human subjects, it is research and falls under these guidelines.

3. Research involving the use of educational tests (cognitive, diagnostic, aptitude, attitudinal, achievement), surveys, interviews or observation of public behavior:

a. that is unlikely to elicit emotion,
b. that is unlikely to place subjects at risk of civil or criminal liability or damage to their reputation, financial standing, academic status, or employability, and
c. that have data recorded in a manner that the human subjects cannot be identified, directly or through identifiers linked to the subjects.

4. Research involving the study or analysis of existing data, documents, records, or specimens, if these are publicly available or if the information has been recorded in such a manner that subjects cannot be identified.

5. Taste and food quality evaluation and consumer acceptance studies;

a. if wholesome foods without additives are consumed or
b. if a food is consumed that contains a food ingredient at or below the level and for a use found to be safe, or agricultural chemical or environmental contaminant at or below the level found to be safe, by the Food and Drug Administration or approved by the Environmental Protection Agency or the Food Safety and Inspection Services of the U.S. Department of Agriculture.

6. Research that has been approved by the IRB of another institution, as long as the project is in compliance with that institution's requirements and the HPU IRB is informed of any adverse effects. A Project Application should be submitted to the HPU IRB, with a copy of the other IRB's approval attached.

The Co-chair or other person approving research as Exempt from Full review will inform the Principal Investigator promptly in writing, and will make this information available to other IRB members upon request.

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Expedited Review

Expedited review procedures may be used for certain types of research involving no more than minimal risk. The review may be carried out by the IRB Co-chair or by one or more IRB members designated by the Co-chair. In reviewing the research, the reviewers may exercise all of the authorities of the IRB except that the reviewers may not disapprove the research. A research activity may be disapproved only after review in accordance with the Full review procedure set forth below. Reviewers may also refer the proposal to a Full review by the IRB if they believe that a full discussion is warranted. The Principal Investigator will be informed in writing whether the proposed research has been approved or referred for Full review. All members of the IRB will receive written notification of this action from the person performing the Expedited review.

Expedited review can also be used for minor changes in previously approved research during the period for which approval has been authorized.

Expedited review is appropriate for the following risk categories:

1. Data collection methods that do not involve invasive procedures, deception, or more than minimal stress.
2. Research involving only noninvasive, painless, and non-disfiguring collection of physical samples, such as hair, sweat, and excreta.
3. There is no use of vulnerable subjects (children and pregnant women for example) .
4. Data recorded using noninvasive, painless, and non-disfiguring sensors or equipment, such as EKG, weighing scales, or voice/video recording.
5. Research involving physical exertion requires only moderate levels of exercise in healthy volunteers.
6. The research does not involve ingestion of drugs or use of hazardous devices.
7. If existing data, documents, records, or specimens with identifiers are used, procedures are in place to ensure confidentiality.

Full Review

Any research not covered under the Exempt or Expedited review categories is referred to the IRB for Full review. The investigator is welcome to attend the review in order to answer any questions that may arise, and may bring others if desired. The research is either approved, approved pending modifications that must be verified by committee members, or not approved. The IRB will be expeditious in its review and decision-making. Investigators will be notified in writing about the IRB decision.
For specific details and forms for submitting a protocol for review to the IRB, please visit the website at http://www.hpu.edu/CHSS/IRB/.

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3.12.16 Animal Use Policy and Procedures

Background

The Animal Welfare Act (AWA) was first passed in 1966 to address the concerns of the American public regarding the acquisition and use of animals in research. To ensure adherence to the Act, the Congress established a self-oversight mechanism for all research institutions; this oversight is through the Institutional Animal Care and Use Committee (IACUC). The 1985 Amendments to the AWA and concurrent changes in the Public Health Service Policy of Use of Animals by Awardee Institutions (PHS Policy) increased the oversight responsibilities of the IACUC. Today, every institution conducting animal-based research, teaching or testing, must establish an IACUC to oversee the institution's animal care and use program. The IACUC's membership and responsibilities are mandated and defined by federal law and carried out through local policy.

Policy

Hawai'i Pacific University (HPU) recognizes that scientific and medical knowledge developed through animal research has saved countless lives, improved human and animal health, and alleviated pain and suffering. The University supports the judicious use of animals in research, education and testing in the interests of human and animal welfare. HPU is aware of its legal and ethical responsibilities to ensure that animals are not used needlessly and are spared all unnecessary pain and distress. To this end, HPU requires review by the IACUC of all protocols involving any live vertebrate animal used or intended for use in research, research training, experimentation, teaching, biological testing, or related purposes.

Procedures

The Hawai'i Pacific University Institutional Animal Care and Use Committee; Roles and Responsibilities

The Animal Welfare Act and PHS Policy have defined the mandated roles and responsibilities of the IACUC. At Hawai'i Pacific University (HPU), the President appoints members including the Chairperson of the IACUC and the Institutional Official (IO). The IACUC advises the IO on issues related to animal care and use and makes recommendations for change in the program or facilities. Certain responsibilities of the Committee are not advisory, but carry the mandate of federal law for the IACUC to be the final authority with regards to the welfare of animals used by the institution.

Authority

The IACUC has the mandated authority to:

- Review once every six months the program for humane care and use of animals, using the ILAR Guide for the Care and Use of Laboratory Animals (The Guide) and the Animal Welfare Act as basis for evaluation.
- Inspect at least once every six months all animal facilities (including satellite facilities) and animal study areas using the Guide and Act as basis for evaluation.
- Review concerns involving the care and use of animals.
- Review and approve, require modifications in (to secure approval) or withhold approval of those components of activities related to the care and use of animals.
- Make recommendations to the Institutional Official regarding any aspect of the animal care program, facilities, or personnel training.
- Prepare reports of the IACUC evaluations conducted as required by this policy and submit the reports to the Institutional Official. The reports shall be reviewed and signed by a majority of the IACUC members and must include any minority views. Reports shall be maintained and made available to regulating agencies upon request. Reports must contain a description of the nature and extent of adherence to the Guide and Act and must identify specifically any departures from their provisions, and must state the reasons for each departure. Reports must distinguish significant deficiencies from minor deficiencies. A significant deficiency is one that is or may be a threat to the health or safety of the animals. If program or facility deficiencies are noted, the reports must contain a reasonable and specific plan and schedule for correcting each deficiency. Non-adherence to plan of correction for significant deficiencies must be reported through the IO to the Animal and Plant Health Inspection Service (APHIS), the Office of Laboratory Animal Welfare (OLAW) and any Federal funding agency.
- Review and approve, require modification in (to secure approval), or withhold approval of proposed amendments regarding the use of animals in ongoing activities.
- Monitor and confirm that scientists, animal technicians and other personnel involved with animal care, treatment and use are provided with the training in the humane practice of animal maintenance and experimentation, and the concept, availability and use of research or testing methods that limit the use of animals or animal distress.
- The IACUC may suspend any activity that it previously approved if it determines that the activity is not being conducted in accordance with applicable provision of the Guide, Act, or NIH Assurance Statement. The IACUC may suspend an activity only after review of the matter at a convened meeting or a quorum of the IACUC and with the suspension vote of a majority of the quorum present. If the IACUC suspends an activity involving animals, the Institutional Official in consultation with the IACUC shall review the reasons for suspension, take appropriate corrective action, and report that action with the full explanation to APHIS, OLAW and any other federal funding agency.

Protocol Submission Process

Only Hawai‘i Pacific University full-time faculty are permitted to submit applications for the use of animals in research or teaching to the IACUC. In addition, federal law requires

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that all individuals who use animals in research or teaching must have the appropriate qualifications. To this end, all individuals named on the application form must receive general and species-specific training prior to the approval of the application by the IACUC.

The IACUC application consists of the following **essential** elements:

- Proposal Submittal Form (OSP-1)
- Conflict of Interest Form (OSP-5 or OSP-5a, if applicable)
- IACUC Protocol Application Form
- The technical portion of the grant proposal or contract, if applicable, that describes the proposed use of animals.

If applicable, the following **additional materials** must be submitted with the application:

- The Use of Biohazardous Materials in Laboratory Animals Form (to be reviewed by the University Safety Committee)
- The Use of Radioactive Materials in Laboratory Animals Form (to be reviewed by the Safety Committee)

The PI must consult with the Attending Veterinarian during planning and prior to submission of an animal use protocol that might cause more than momentary pain or distress of the animal.

Under no conditions can a study begin before IACUC review and approval.

Full Review

All protocols are reviewed by a full committee unless the IACUC Chair determines that a Designated Member Review is warranted. Activities Requiring Full Committee Review include:

a. Use of Non-routine or Harmful Invasive Procedures:

It is the policy of the HPU IACUC that protocols that involve non-routine or harmful invasive procedures such as major multiple survival surgery are not eligible for designated member review, and must always be reviewed by the full Committee. In most instances, multiple survival surgical procedures on a single animal are discouraged. However, under special circumstances, more than one major surgical procedure on a single animal may be approved provided they are related components of a research or instructional project. Major surgery is defined as any surgery in which a major body cavity is opened.

b. Prolonged Restraint:

The HPU IACUC policy states that protocols that involve prolonged restraint are not eligible for designated member review and must always be reviewed by the full Committee. Standard tethering systems for rats that allow full mobility within cage space are <u>not</u> considered prolonged restraint by the IACUC.

c. Use of Animals With a Serious Natural or Experimental Disease Maintained for an Extended Time:

It is the policy of the HPU IACUC that protocols that involve the long-term maintenance of animals with serious debilitating diseases must always be reviewed by the full Committee. An example of such a protocol is one including maintenance of animals with naturally occurring or experimentally induced paralysis.

d. Methods of Euthanasia Other Than Those Approved by the AVMA:

The IACUC currently approves all methods of euthanasia that are in agreement with the 2007 AVMA Panel on Euthanasia recommendations. Exceptions to these recommendations are reviewed individually by the IACUC and approved when deemed acceptable. This requires scientific justification by the investigator and may require observation of the proposed method by IACUC members.

Categories of IACUC Actions

As a result of the review of the protocol applications, the IACUC Chair may make a recommendation for approval in current form, modifications required for approval, or withhold approval. The IACUC may also defer or table review if necessary.

- Modifications required for approval – This determination is that the protocol is approved, contingent on receipt of a specific modification, with final approval by the IACUC Chair or by Full Committee once the PI has completed revisions necessary for approval. A study cannot begin until final approval is granted.
- Approval in current form- Meets all the review criteria for approval in current form.
- Withhold Approval – The IACUC determines that the proposal has not met all of the requirements, as applicable. A designated reviewer may not withhold approval. This action can only be taken using the full committee method of review. The reasons for disapproval are given to the PI who may respond in person or writing to appeal the decision or may submit a revised Protocol.

Applications and proposals that have been approved by the IACUC may be subject to further review and approval by other University officials. However, these officials may not approve those sections of the application or proposal related to the care and use of animals if they have not received IACUC approval.

Exceptions to the Standard Review Process

The HPU Animal Use Policy applies to the use of live vertebrate animals in research, research training, experimentation, teaching, biological testing, or related purposes. However, certain proposed activities involving the use of animals in research or teaching are either exempt from IACUC review or follow a procedure that is different from the

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standard review process for IACUC applications described above. These situations are as follows:

Exempt from IACUC Review

Activities that involve using animal tissue or cells obtained from an outside source or a previously approved protocol are exempt from IACUC review and approval. The principal investigator should keep records of the procurement of all animal tissues and/or cells regardless of source.

The following activities are exempt from review:

a. field studies conducted with free-living wild animals in their natural habitat, which do not involve invasive procedures, capture, or handling of the animals, and which do not harm or materially alter the behavior of the animals under study, are exempt from review

b. observational studies of captive wild animals held at licensed facilities, which do not involve invasive procedures or handling of the animals, and which do not harm or materially alter the behavior of the animals under study, are exempt from review

Annual Reviews for Approved Protocols

Annual reviews must be completed each year for all approved protocols. The reviews must be approved no less than 365 days after the original approval date or the last annual review. Annual reviews are submitted using the Annual Review Form (See http://grants.nih.gov/grants/olaw/references/contop96.htm for template) and include a description of progress made over the previous year. Annual reviews are sent to the IACUC Chair and will be submitted for expedited review unless any of the IACUC members request a full committee review. This pertains to active protocols.

Amendment for Animal Use Procedures

Any proposed modification to an approved protocol must be approved by the IACUC prior to implementation. This includes, but is not limited to, changes to procedures, housing requirements, pre- or post-operative care, euthanasia, the addition of animals greater than or equal to 10% of what was originally approved, or the addition or deletion of personnel. Investigators who wish to initiate a change in a protocol must submit an Animal Use Amendment Form to the Chair of the IACUC describing in detail the proposed modifications, justification for the proposed changes, and any effects that the modifications may have on the animal(s). The chair may decide that the amendment represents significant procedural changes that require the submission of a new IACUC protocol. Amendments may be approved by the Chair of the IACUC or his designee on an ad-hoc basis.

An Amendment is to be used to gain acceptance for a variation in the conduct of a protocol. In general, an amendment is used to correct problems that arise during the conduct of a study or to continue a study where the goal has not changed but the methods and procedures have been modified to better achieve the goals. An amendment requires

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action by the HPU IACUC before the changes can be initiated. Justification must be given for the changes requested.

a. The anticipated animal number is significantly above (>=10%) what was originally approved by the IACUC (an increase over 25% requires a new IACUC proposal).
b. proposals to switch from non-survival to survival surgery.
c. a change in degree of invasiveness of a procedure or discomfort to an animal.
d. a change in personnel involved in animal procedures.
e. a change in anesthetic agent(s) or the use or withholding of analgesics.
f. a change in methods of euthanasia.
g. a change in the species used.
h. a change in duration, frequency or number of procedures performed on an animal.

Amendments are not allowed under the following circumstances and full protocols must be submitted:

a. An amendment cannot be used if a different investigator wants to independently perform a similar procedure as an existing protocol that belongs to someone else.
b. If a primary investigator leaves the University with unfinished active protocols and an existing associate investigator does not want to continue the study as a primary investigator, those protocols must be terminated. An exception may be made if a new person is interested in continuing the study. That individual must be present at the University, be familiarized with the existing protocol and the use of animals, and demonstrate his/her qualifications to use the species and perform the work.
c. A new protocol is required when the overall approach to a research issue must be changed.

Request for Additional or Replacement Animals

A concerted effort to minimize the use of animals is undertaken by the HPU IACUC at the time of initial review of all research protocols involving the use of animals. Federal guidelines for research animal use stipulate that investigators should seek to *refine*, *replace*, and *reduce* animal use ("The 3 Rs"). Reduction refers to the use of the minimum but sufficient number of animals needed to yield statistically meaningful results. Similarly, federal guidelines require the IACUC to evaluate the "appropriateness" of the numbers of animals to be used. However, there is the possibility of unforeseen technical difficulties and additional or replacement animals may be necessary for completion of an approved research protocol.
HPU requires that:

- Investigators should seek to use the fewest animals necessary to yield statistically meaningful results. It is not the purpose of the IACUC to prescribe the method by which investigators arrive at the minimum number of animals needed for a research project. The number of animals to be used may be derived from citations

of relevant literature, past experimental findings of the investigator, recommendations of sponsors, or through a power analysis.

- Investigators must clearly state in their protocol or protocol amendment how they arrived at the number of animals requested.
- Investigators opting to perform a power analysis may benefit from using power analysis algorithms available on-line, such as:
  http://www.psycho.uni-duesseldorf.de/aap/projects/gpower/
  http://www.ncss.com/pass.html

Approved animal protocols specify the number of animals to be used in a project. Sometimes a small increase in number is necessary. The IACUC has provided means to increase the number of animals which may be purchased in an approved protocol:

- Less than 10% increase or 1 animal is permitted without written request to Committee;
- Greater than or equal to 10% and less than 25% increase requires an amendment request, with IACUC administrative review;
- Greater than or equal to 25% increase requires the submission of a new IACUC protocol.
-

Federal regulations require the IACUC to closely monitor the numbers of animals required and used for each approved project. This policy provides the flexibility needed when a modest increase in number of animals is needed for a particular project.

Please contact the Office of Sponsored Projects for additional information on the IACUC policy and procedures.

3.12.17 Hazardous Materials

Hazardous materials are biological, chemical, or physical items which have the potential to cause harm to humans, animals, or the environment. These materials are either hazardous on their own or they have the potential to be hazardous through interaction with other factors. The use and disposal of hazardous materials is regulated by several agencies, including: the Centers for Disease Control and Prevention (CDC), Occupational Safety and Health Administration (OSHA), and the Department of Health and Human Services. These regulations must be followed by all personnel who may have contact with hazardous materials and University facilities that are capable of containing such hazards

Policy:

It is Hawai‘i Pacific University policy that all Principal Investigators/Laboratory Directors must assume primary responsibility for the proper use, handling and disposal of all biohazardous agents, radioactive materials, chemical hazards and recombinant DNA molecules associated with their research. HPU principal investigators and research personnel must comply with applicable Federal, State and local regulatory standards as well as any administrative requirements established by applicable institutional

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committees. Failure to comply with this policy may result in an administrative review and a possible suspension of approval by the Hazardous Materials Safety Committee (HMSC) to work with biohazardous agents, radioactive materials, chemical hazards and/or non-exempt recombinant DNA molecules.

Procedures and Guidelines:

Chemical Hazards

The University's Hazardous Communication Plan was implemented to safeguard employees from occupational hazards (http://campus.hpu.edu/tag.6ea8a009c4f7dcf2.render.userLayoutRootNode.uP?uP_root=root&uP_sparam=activeTab&activeTab=u40373l1s82&uP_tparam=frm&frm=) related to chemicals. A chemical hazard is any chemical that has the potential to cause harm to people, animals, or the environment. These can include: flammable liquids or solids, corrosives, oxidizers, toxins, and carcinogens, to name a few. It is the responsibility of the investigators to monitor the use and disposal of these chemicals in the laboratory. The Hazardous Materials Safety Committee (HMSC) may require justification as to why a safer compound cannot be used. Investigators are encouraged to contact the Chemical Hygiene Officer (CHO) if there are any questions or concerns regarding the use of chemical hazards.

The Hazard Communication Policy and Program applies to all workplaces. The Hazard Communication Program sets forth procedures to protect employees and students from exposure to chemical hazards within laboratories and conforms to regulatory requirements. The HMSC works with academic departments and faculty to develop programs for the safe use of chemicals.

Radioactive material

Radioactive material is any substance that emits radiation. Exposure to radiation could pose serious health risks to personnel and to the community if improperly used or disposed. Radioisotopes, the unstable atoms or isotopes that emit the radiation, are commonly used in research. Radioisotopes can only be used in laboratories of an official, authorized user and all procedures that generate radioactive carcasses must be approved in advance by the HMSC.

Biohazards

Biohazards can be defined as biological agents and materials which are potentially hazardous to humans, animals, or the environment. This includes: microbial pathogens, parasites, recombinant DNA, cell cultures containing potentially infectious agents (i.e. viruses, prions), and other infectious agents. Before a proposal using these agents is submitted to OSP it must be reviewed by the Institutional Biosafety Committee (IBC) (.a subcommittee of the Hazardous Material Safety Committee (HMSC).

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Recombinant DNA:

Registration & oversight of rDNA projects is in accordance with the *NIH Guidelines for Research Involving Recombinant DNA Molecules (NIH Guidelines)* .The Guidelines define rDNA molecules as either: "(i) molecules that are constructed outside living cells by joining natural or synthetic DNA segments to DNA molecules that can replicate in a living cell, or (ii) molecules that result from the replication of those described in (i) above" and classify rDNA experiments based on their potential hazard(s) to research staff, environment, and/or public health.

For more information on hazardous materials and procedures please contact the Office of Sponsored Projects.

3.12.18 Research Misconduct

Background

The basis for the Hawai'i Pacific University's Policy on Research Misconduct is the Federal Government's "Public Health Service (PHS) Policies on Research Misconduct", 42 CFR, Part 93, as described in its Final Rule publication in the Federal Register May 17, 2005 (Volume 70, Number 94, Pages 28369-28400). The Final Rule became effective June 16, 2005. Although compliance with this ruling is required by the Federal Department of Health and Human Services (HHS) only for PHS-supported biomedical or behavioral research, biomedical or behavioral research training, and activities related to that research or research training, and even though other funding entities may have their own policies, HPU has determined that 42 CFR Part 93 is the comprehensive policy that will be applied as the minimum standard to all allegations of misconduct in research, regardless of the funding source(s).

Introduction

The policy is intended to define what constitutes misconduct in research, and describes the process that will be undertaken when allegations of misconduct come to the attention of the University administration and to inform members of the scientific community of the appropriate channels for bringing such matters to the attention of the administration for resolution.

This policy applies to all individuals who hold university appointments and all graduate students who are engaged in the conduct of research, whether or not the research is funded, and to anyone affiliated with HPU engaged in research through a sponsored project to the extent of that research. While this policy applies to research misconduct by students, in cases involving allegations against undergraduates the usual conduct procedures administered by the Office of Academic Affairs (set forth in the Student Handbook) shall be followed in lieu of this Policy.

Definition and Findings of Research Misconduct

Research misconduct as defined in 42 CFR Part 93 and adopted for the purpose of this policy means fabrication, falsification, or plagiarism in proposing, performing, or reviewing research, or in reporting research results.

- Fabrication is making up data or results and recording or reporting them.
- Falsification is manipulating research materials, equipment, or processes, or changing or omitting data or results such that the research is not accurately represented in the research record.
- Plagiarism is the appropriation of another person's ideas, processes, results, or words without giving appropriate credit.

Research misconduct ***does not*** include honest error or differences of opinion.

Requirements for findings of research misconduct

A finding of research misconduct made under this part requires that:

There be a significant departure from accepted practices of the relevant research community;

and

The misconduct be committed intentionally, knowingly, or recklessly;

and

The allegation be proven by a preponderance of the evidence.

Six-year limitation

This policy applies only to research misconduct occurring within six years of the date HHS or an institution receives an allegation of research misconduct.

Exceptions to the six-year limitation:

- Subsequent use exception. The respondent continues or renews any incident of alleged research misconduct that occurred before the six-year limitation through the citation, republication or other use for the potential benefit of the respondent of the research record that is alleged to have been fabricated, falsified, or plagiarized.
- Health or safety of the public exception. If the U.S. Public Health Service - Office of Research Integrity (ORI) or the institution, following consultation with ORI, determines that the alleged misconduct, if it occurred, would possibly have a substantial adverse effect on the health or safety of the public.
- Grandfather exception. If HHS or the institution received the allegation of research misconduct before the effective date of 42 CFR Part 93.

Policy

It is the responsibility of University faculty, staff and students to report any incident of misconduct in good faith and in accordance with the definitions and terms of HPU's Policy on Research Misconduct. It is also incumbent upon them to promote scientific integrity, to protect the health and safety of the public, and to conserve public funds that support research.

Procedures

Reporting Misconduct in Research

Charges of Research Misconduct may be filed by anyone, whether associated with the University or not. Any incident of misconduct in research should be reported either directly to the OSP or via HPU's Compliance Hotline. Allegations are required to be in writing. Each allegation must be made in good faith and substantiated with documented observations, documents of fact, witness statements, or some other form of proof from which the OSP can begin an official and confidential inquiry.

Confidentiality will be maintained and the identities and reputations of the complainant and respondent will be protected to the extent practical. Should the proceeding advance to an inquiry stage, the name of the complainant will be submitted to the President and the Vice President & Provost of Academic Affairs, along with the name of the respondent.

Response to allegation of Misconduct

- The response will be thorough, competent, fair, objective, and timely.
- Individuals charged with the response will have the requisite scientific and/or administrative expertise, have no personal, professional or financial conflicts of interest with the complainant, witnesses or respondent, and commit to preserving the confidentiality of the proceedings and reputations and positions of those involved during those proceedings.
- All reasonable and practical steps will be taken to ensure the cooperation of respondents and other institutional members in obtaining information, records, and evidence.
- Best efforts will be made to preserve the integrity of the research in question during the proceedings, and to minimize the interference with concomitant research and collegial requirements.
- Cooperation will be extended to the funding agency during all appropriate proceedings and in any administrative actions that may be imposed on any institutional member.

Initial Determination to Continue Inquiry

The OSP, in consultation with other institutional officials as appropriate, will determine if the behavior alleged meets the definition of misconduct in research as detailed in the University Policy and is sufficiently credible and specific so that potential evidence of

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misconduct in research may be identified. Additional information will be requested from the complainant if the issue of credibility remains in question.

If the OSP determines that the allegation does not fit within the definition of misconduct, or cannot be substantiated, all parties will be notified and a concerted effort will be undertaken to restore the reputations of any individuals who may have been adversely impacted by the allegation and the proceedings.

If the OSP determines that the alleged behavior meets the definition and is sufficiently credible and specific, in consultation with other institutional officials as appropriate, s/he will designate an Ad Hoc Inquiry Committee. This committee should have no fewer than three persons. Members of the committee shall have no conflicts of interest with the respondent or with the case in question, shall be unbiased, and shall, together, possess sufficient expertise to enable the Committee to conduct the Inquiry and to evaluate the evidence and issues related to the charge(s). Appointees are expected to notify the OSP of any known conflict of interest or of an inability to render unbiased judgment.

Wherever feasible, one member of the Inquiry Committee shall be from the college in which the Respondent holds primary appointment and one member shall be a faculty member from elsewhere in the University. If necessary (e.g., to obtain appropriate expertise), the OSP may appoint an individual from outside the University. Any exception of the designated composition of the Inquiry Committee shall be made only for good cause and shall be documented in the Inquiry Report. The OSP shall designate a chair, who shall be a university appointee who is not from the unit in which the Respondent holds primary appointment.

The OSP will notify the respondent of the proposed committee membership in 10 days. If the respondent submits a written objection to any appointed member of the inquiry committee or expert based on bias or conflict of interest within 5 business days, the OSP will determine whether to replace the challenged member or expert with a qualified substitute.

Actions based on Final Decision

No Misconduct: If the President and the Vice President & Provost of Academic Affairs determine that the charges have not been proven by a preponderance of the evidence, diligent efforts will be undertaken to restore the reputation of the respondent. The Vice President of Human Resources will ensure that all reference to the matter is expunged from the respondent's personnel file. The OSP will notify in writing persons who have been interviewed or otherwise informed of the charge that the charges have been dismissed. Respondents will be consulted regarding other actions that might be taken on their behalf to restore their reputations. The research records will be restored appropriately as well.

Misconduct: If the President and the Vice President & Provost of Academic Affairs determine that Research Misconduct has been proven by a preponderance of the

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evidence, the OSP will notify in writing the Respondent of their decision. If the President and the VPAA determines that a sanction should be imposed, they shall take such action as is within their authority. Whether or not sanctions are imposed, the President and the VPAA may prescribe corrective action responsive to the Research Misconduct and take any other appropriate action. The President and the Vice President & Provost of Academic Affairs findings shall be conclusive and binding on any later proceeding convened for other purposes.

The Appeal Process

The President and the Vice President & Provost of Academic Affairs may accept the recommendations of the Ad Hoc University Research Advisory Committee or come to a different determination. The respondent will **NOT** have a separate opportunity for appeal but may include in the comments submitted to the Ad Hoc University Research Advisory Committee in response to their report the basis for appealing the committee's decision. The President and the Vice President & Provost of Academic Affairs will consider this in their decision. This decision will be final on the part of the University, but subject to review and acceptance by the ORI or other relevant funding agency. Funding agencies may undertake their own review or request further action by the University.

Sanctions and Administrative Actions

HPU shall impose appropriate sanctions on individuals when an allegation of misconduct has been sustained. If the President and the Vice President & Provost of Academic Affairs determine that the alleged misconduct is substantiated by the findings, the President will decide after consulting with the Vice President & Provost of Academic Affairs and other appropriate HPU officials, what actions will be taken. The actions may include:

- Restitution of funds to any sponsoring agency as appropriate;
- Withdrawal or correction of all pending or published abstracts and papers emanating from the research in question; or
- Removal from the particular project, letter of reprimand, special monitoring of future work, suspension, demotion or steps leading to possible termination of employment.

3.13 Workplace Environment

HPU embraces a productive work environment that does not tolerate any conduct by faculty that interferes with another's work performance or creates a negative work environment. The policies identified here are directly linked to the concepts described in the approved 2013 Faculty Handbook.

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3.13.1 Discrimination and Harassment

HPU is firmly committed to a policy of non-discrimination and the right of all faculty to a work environment free of harassment and intimidation. Discrimination and/or harassment of any employee on the basis of age, sex, religion, race, color, ancestry, national origin, disability, marital status, veteran's status, sexual orientation, arrest and court record, citizenship or any other classification protected under state or federal law is prohibited. All faculty members are responsible for compliance with this policy. Faculty members violating the policy against discrimination and/or harassment, including sexual harassment, will be subject to immediate and appropriate disciplinary action, including possible termination.

Definition of Discrimination:

Decisions regarding employment should be based on legitimate, non-discriminatory business reasons. This includes decisions regarding recruitment, hiring, placement, training, promotion, compensation, benefits, transfers, layoffs, discipline, termination, and other terms and conditions of employment.

It is prohibited to base employment actions, or the terms and conditions of employment, on an individual's age, sex, religion, race, color, ancestry, national origin, disability, marital status, veteran's status, sexual orientation, arrest and court record, citizenship or any other classification protected under state or federal law. Furthermore, it is prohibited for faculty members to be subjected to intimidation or harassment (e.g. physical or verbal abuse, offensive comments, degrading words, threats, etc.) based on their protected classifications.

Definition of Harassment via Bullying/Incivility:

Bullying is an offensive, abusive, intimidating, malicious or insulting behavior, or abuse of power conducted by an individual or group against others. Bullying creates a hostile work environment which is described as the physical, verbal or emotional abuse of another employee or student. A hostile work environment resulting from bullying and uncivil behavior is an unwelcome, pervasive, severe, and/or abusive behavior. Bullying may involve, but is not limited to: repeated mistreatment, sabotaged work, verbal or non-verbal abuse/threats, rudeness, yelling, intimidation, constantly interrupting, humiliation, ignoring or excluding others, constant criticism, or physically threatening conduct.

When looking from the recipients perspective bullying may feel like having thoughts or feelings ignored, being belittled/put down/made fun of, stared or glared at, being assigned undesirable work, or being accused of errors made by someone else. Incivility in the workplace is simply bad manners.

Resources to better understand bullying and incivility are available at www.bullyinginstitute.org and www.osha.org.

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Definition of Sexual Harassment:

Unwelcome sexual advances, requests for sexual favors, and other verbal or physical conduct of a sexual nature by any faculty member to any other individual, or by a vendor, supplier or student to any faculty or staff member, constitute inappropriate sexual conduct which can form the basis for sexual harassment claims. Inappropriate sexual conduct can take many forms. It is not limited to overt physical assaults, unwelcome or unwanted sexual advances, and requests or demands for sexual favors. It can also involve:

- Unnecessary or unwanted physical contact (e.g. patting, pinching, hugging or intentionally brushing up against another employee's body);
- Verbal conduct (e.g. offensive sexual flirtations, advances, propositions, verbal abuse of a sexual nature, graphic verbal commentaries about an individual's body, sexually degrading words used to describe an individual or the telling of "dirty jokes"); and
- Non-verbal conduct (e.g. the display in the work place of sexually suggestive objects, sexual pictures in the work place, winking, lingering glances, wolf whistles, sexual gestures).

Inappropriate sexual conduct becomes sexual harassment when: (1) the unwelcome or unwanted sexual conduct or advances interferes with another person's work performance or creates an intimidating, hostile or offensive work environment; (2) personnel decisions (e.g. transfers, promotions, scheduling, etc.) made by a supervisor are based on the faculty's submission to or rejection of a sexual advance; and/or (3) submission to a sexual advance is used as a condition of keeping a job, whether expressed in explicit terms or implied.

Complaint Procedure:

If you feel you are being discriminated against or subjected to sexual harassment, or if you observe any employee being discriminated against or subjected to sexual harassment, please report it immediately to your supervisor, or if you believe your supervisor is part of the problem, you may take the matter up with any member of management or the Human Resources Department, or you can call the HPU Compliance Hotline at 1-877-270-5054.

Prohibition Against Retaliation.

All faculty members are assured that, by law, there will be no retaliation permitted against a faculty member who is in good faith complaining of, reporting, or participating in the investigation of a discrimination and/or harassment problem. If you feel you are being retaliated against for making a complaint, reporting a problem and/or participating in an investigation, please report it immediately to your supervisor, or if you believe your supervisor is part of the problem, you may take the matter up with any member of management or the Human Resources Department, or you can call the HPU Compliance Hotline at 1-877-270-5054.

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Investigation:

Once a discrimination, harassment or retaliation complaint or report is received, the Human Resources Department or its designee will conduct an investigation into all of the surrounding circumstances. To the best extent possible, the Human Resources Department will attempt to keep the investigation confidential. If the report appears to have merit, appropriate disciplinary action will be taken against the offender. Depending on the severity of the misconduct, and all the circumstances, the disciplinary action against the offender could vary from a warning to an immediate termination.

Any questions concerning this policy should be directed to the Human Resources Department.

3.13.2 Workplace Violence

HPU believes that a safe work environment is fundamental to the success of the University. Each faculty member has the right to a work place free from intimidating, threatening or dangerous behaviors. Accordingly, everyone must be treated with dignity, respect and courtesy.

"Zero Tolerance" Policy:

HPU maintains a "zero-tolerance" policy on workplace violence. The University will not tolerate acts of violence, threats of violence, intimidation, or any conduct that creates an intimidating work environment. This policy applies to all faculty. . Faculty violating the policy against workplace violence will be subject to immediate and appropriate disciplinary action, including possible discharge.

Definition of Workplace Violence:

HPU's Workplace Violence policy prohibits not only actions which are severe enough to violate state, federal or local laws; it also prohibits conduct and comments which are not severe enough to be unlawful but which are still inappropriate in our workplace. Examples of inappropriate behavior include, but are not limited to:

- Violence (e.g. physical altercations (fighting), inflicting injuries on another person, intentional damage to property);

- Threats (e.g. verbal and/or nonverbal threats of physical harm, physically aggressive behavior, acts or gestures likely to leave another person fearing injury); and

- Intimidation (e.g. compelling a person to act or refrain from acting by making verbal and/or nonverbal threats toward that person, gestures intended to harass or

intimidate another person).

Reports or Complaints of Workplace Violence:

All faculty are responsible for notifying the University's Assistant Director of Safety & Security of any violence, threats or intimidation they have witnessed, received, or have been told that another person has witnessed or received. Even without an actual threat, faculty should also report any behavior that they witnessed which they regard as threatening or violent, when that behavior is job related or might be carried out on a University controlled site, or is connected to University employment. Faculty are responsible for making this report regardless of the relationship between the individual who initiated the violent, threatening or intimidating behavior and the person or persons who were the focus of the violent, threatening or intimidating behavior. If the University's Assistant Director of Safety & Security is not available, faculty should report the threat to their supervisor or the Human Resources Department.

Also, all individuals who apply for or obtain a protective or restraining order which lists University locations as being protected areas, must provide to the Associate Vice President, Human Resources a copy of the petition and declarations used to seek the order, a copy of any temporary protective or restraining order which is granted, and a copy of any protective or restraining order which is made permanent.

Complaint and Investigation Procedures: The University's response to workplace violence situations, or potential workplace violence situations, will vary from case to case. However, in general, the following procedures should be followed.

Step 1: Complaint. If any faculty believes that he/she has been subjected to violent, threatening or intimidating behaviors, the faculty has the right to file a complaint with their immediate supervisor or department head. Information to be reported should include but is not limited to: name of the person(s) making the threat; name of the person(s) being threatened; specific language or form of threat; and any specific conduct by the person making the threat.

Step 2: Investigation. Any supervisor or department head who receives a report of workplace violence, as identified in this policy, will immediately report the incident to the Associate Director of Safety & Security, who will, in turn, notify the Vice President, Administration and the Associate Vice President, Human Resources of the report.

All reports of violence will be promptly investigated by the Associate Director of Safety & Security, Vice President-Administration or the Human Resources Department, which will make every effort to maintain confidentiality to protect the interests of person(s) furnishing reports, witnesses, and the person about whom a report was made. Please note that in order to minimize potential risk to co-workers, the University may take appropriate steps to protect faculty against whom threats have been made pending an investigation. It may be necessary to

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remove an individual from the property during an investigation. As such, to maintain workplace safety and the integrity of its investigation, the University may place faculty on a leave of absence, either with or without pay, pending investigation. Depending on the severity of the threat or incident it may also be necessary to inform the police or the appropriate agency.

Remedial Actions:

After the investigation is completed, a resolution to the complaint will be discussed with the alleged victim, the accused, and others on a need-to-know basis. If it is determined that workplace violence has been committed, remedial action will be taken. Faculty who violate this policy will be subject to disciplinary action up to and including termination. Action will be taken against all others (contractors, vendors, suppliers, students and visitors) as permitted by law. Remedial actions may also include criminal prosecution of the person or persons involved when appropriate.

3.13.3 Obligations Regarding Altercations, Injuries, and Possible Criminal Acts

All faculty, as members of Hawai‘i Pacific University, have very definite responsibilities and obligations in the following serious situations: (1) altercations between two or more members of the University, whether two students, a student and faculty member, or other; (2) personal injury sustained by a University member; and (3) belief that a criminal act may have been committed.

Altercations

Faculty should immediately contact security and geographically proximate administrators. After the fact, faculty who have been on the scene will be asked to submit a report of the events they have witnessed. In the case of altercations between two students, for example, these reports are used by the Student Conduct Review Board in their deliberations.

Personal Injury

Faculty who become aware of another member of the University community who has sustained an injury should assist the injured party in any way possible. If the injury is serious, the faculty member on the scene should immediately report the situation at once to an appropriate administrator and notify security. If it is evident an ambulance should be called, then the faculty member should call the ambulance. Due to liability, faculty should not use their personal vehicles to transport injured Faculty who have been injured or who witness an injury are required to submit an Accident Report.

Belief That a Crime Has Been Committed

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Faculty who have reason to believe a criminal act has been committed, should immediately contact Security.

- Please refer to the *Safety and Health Manual* and the *Disaster Manual* located at Hawai‘i Pacific University’s Campus Pipeline, Human Resources (HR) tab in the “Manuals” section.

3.13.4 Drug-Free Campus and Workplace

HPU recognizes the importance of and is committed to protecting the health, safety and well-being of its employees, students and the general public in the workplace. To assist us in achieving this goal and to comply with the Drug-Free Workplace Act of 1988 and the Drug-Free Schools and Communities Act, the University has adopted the following policy to achieve an alcohol- and drug-free work force and workplace.

Applicability:

Any individual who conducts business for the University, is applying for a position or is conducting business on the University’s property is covered by our drug-free workplace policy. Our policy includes, but is not limited to, full-time employees, part-time employees, off-site employees and applicants. This policy applies during all working hours, whenever representing or conducting business for the University, and while on University property or worksites at any time.
All employees must comply with all terms of this policy as a condition of employment with the University.

Prohibited Behavior:

The unlawful manufacture, distribution, sale or attempted sale, dispensation, possession or use of controlled substances is prohibited.

Prescription and over-the-counter drugs are not prohibited when taken in standard dosage and/or according to a physician's prescription. Any employee taking prescribed or over-the-counter medications will be responsible for consulting the prescribing physician and/or pharmacist to determine whether the medication may interfere with safe performance of his/her job. If the use of a medication could compromise the safety of the employee, fellow employees or the public, it is the employee's responsibility to use appropriate personnel procedures (e.g., call in sick, use leave, request change of duty, notify supervisor, notify company doctor) to avoid unsafe workplace practices. The illegal or unauthorized use of prescription drugs is prohibited. It is a violation of this policy to intentionally misuse and/or abuse prescription medications. Appropriate disciplinary action will be taken if job performance deteriorates and/or accidents occur.

Notification of Convictions:

Any employee who is convicted of a criminal drug violation in the workplace must

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notify the Human Resources Department in writing within five calendar days of the conviction. The Company will take appropriate action, including disciplinary action, within 30 days of notification. Federal contracting agencies will be notified, if applicable, within 10 days of the report.

Searches: Entering the University's property constitutes consent to searches and inspections. If an individual is suspected of violating this policy, he or she may be asked to submit to a search or inspection at any time. Searches can be conducted of pockets and clothing, wallets, purses, briefcases, desks and work stations and vehicles and equipment. See *Security* policy and procedures for more information.

Substance Abuse Testing: Employees and applicants who are involved in the operation of heavy machinery and vehicles (vans, boats, etc.) are subject to substance abuse testing in accordance with the HPU's Substance Abuse Programs. All employees will be given a copy of the applicable program.

Consequences:

One of the goals of HPU's alcohol- and drug-free workplace programs is to encourage employees to voluntarily seek help with alcohol and/or drug problems. If, however, an individual violates the policy, the consequences are serious.

In the case of an applicant, if he or she violates the drug-free workplace policy, the offer of employment can be withdrawn. If an employee violates the policy, he or she will be subject to disciplinary action up to and including termination from employment.

Assistance:

HPU recognizes that alcohol and drug abuse and addiction are treatable illnesses. We also realize that early intervention and support can improve the success of rehabilitation. To support our employees, our policy:

- Encourages employees to seek help if they are concerned that they or their family members may have a drug and/or alcohol problem.

- Encourages employees to utilize the services of qualified professionals in the community to assess the seriousness of suspected drug or alcohol problems and identify appropriate sources of help.

- Ensures the availability of a current list of qualified community professionals and treatment programs.

- Offers all employees and their family members assistance with alcohol and drug problems through the Employee Assistance Program (EAP).

Treatment for alcoholism and/or other drug use disorders may be covered, in whole or in part, by health insurance. However, the ultimate financial responsibility for treatment

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belongs to the employee.

An employee who voluntarily seeks and undergoes treatment will not be subject to disciplinary action solely because of admitted substance abuse. However, participation in a treatment program will not shield an employee from disciplinary action if he/she violates this policy or any other HPU policy or procedure.

Employees who voluntarily participate in substance abuse treatment programs may request a leave of absence, with or without pay, in accordance with the University's leave of absence policies.

Confidentiality:

All information received by HPU through the alcohol- and drug-free workplace program is confidential. Access to this information is limited to those who have a legitimate need to know in compliance with relevant laws and management policies.

Shared Responsibility:

A safe and productive alcohol- and drug-free workplace is achieved through cooperation and shared responsibility. All employees are required to not report to work or be subject to duty while their ability to perform job duties is impaired due to on- or off-duty use of alcohol or other drugs.

In addition, employees are encouraged to:

- Be concerned about working in a safe environment.
- Support fellow workers in seeking help.
- Use treatment options and the Employee Assistance Program.
- Report dangerous behavior to their supervisor.

It is management's responsibility to:

- Inform employees of the drug-free workplace policy.
- Observe employee performance.
- Investigate reports of dangerous practices.
- Document negative changes and problems in performance.
- Clearly state consequences of policy violations.

Communication:

Communicating the University's alcohol- and drug-free workplace policy to all employees is critical to our success. To ensure all employees are aware of their role in supporting our alcohol- and drug-free workplace program:

- All employees will receive a written copy of this policy.
- The policy will be reviewed in orientation sessions with new employees.
- The policy and assistance programs will be reviewed at safety meetings and/or other employee trainings.

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- Posters and brochures will be available at all locations.
- Education about the dangers of alcohol and drug use and the availability of help will be provided to all employees.
- Every supervisor will receive training to help him/her recognize and manage employees with alcohol and other drug problems.

Please contact the Human Resources Department if you have any questions about this Policy.

3.13.5 Smoking

Smoking is strictly prohibited in all University occupied buildings and vehicles. Smoking is also prohibited within twenty (20) feet of all entrances and exits to buildings in which HPU business or classes are held.

Smoking is banned from all areas on the Hawaii Loa Campus except in three designated, outdoor smoking areas. The designated smoking areas are:

- The masonry table on the grass at the Kailua end of the Academic Center;
- The masonry bench area on the upper lawn at the Kaneohe end of the Academic Center; and
- The marked area on the Kailua end of the Dining Commons.

All University vehicles are smoke free.

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Chapter 4:

Academic Affairs Policies and Procedures

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Chapter 4: Academic Affairs Policies and Procedures

4.1 Annual Professional Development Plan

Policy

A Professional Development Plan (PDP) is prepared annually by each regular faculty member, as described in the Faculty Handbook (provide link). It details how skills and professional competencies will be maintained and increased in the upcoming academic year. It also provides the basis for requests for funding of various types of faculty development activities such as travel to professional conferences, support for research equipment, and seed grants for research or curriculum development projects.

The PDP is the main instrument of understanding between the faculty member and their department, college and university as to the faculty member's professional activities and growth and the university's expectations for teaching, service and scholarship. The PDP must be tightly linked to the promotion and review criteria for reappointment with overt and specific reference to departmental criteria as well as annual teaching assignments. Each item presented in the PDP must be considered in the light of practicality and probability of success. Unsecured resources or unapproved projects must be cautiously incorporated, as failure to achieve specific items in the PDP cannot be excused because of lack of funding or inability to secure regulatory or administrative approval. It is also understood that unexpected opportunities or setbacks are part of professional development and the annual review of the previous year's PDP needs to take changes into account.

Both the annual Professional Development Plans and the progress reports will be made available to members of the department, and submitted to the departmental and college faculty reappointment and promotion review committees as part of the faculty member's review portfolio.

A new contract or renewal of contract letter will not be issued without a current PDP being submitted to the Department Chair.

Procedure

The Professional Development Plan is prepared in consultation with your supervising Department Chair(s). This annual plan (including a progress report) is prepared and made available in compliance with the bylaws for the faculty assembly of the college or college procedures and policies, as appropriate. At a minimum, though, the following guidelines must apply:

a) The plan (1-2 pages) clearly details the teaching, scholarly, service, creative and other activities the faculty member will use to maintain and increase their skills and professional activities in the upcoming academic year, as well as the resources necessary for achieving these goals and plans for how to acquire those resources. In that way, it provides the basis for requests for funding of various types of faculty development

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activities such as travel to professional conferences, support for research equipment, and seed grants for research or curriculum development projects. These Professional Development Plans will be an integral part of the reappointment procedure.

b) Evidence of consultation with the Department Chair is provided and confirmed by signature. The department chair will review and sign off on the plan as acceptable and sufficient or unacceptable and deficient, and will forward a copy of the plan to the college dean. The department chair will also include a brief written response, which will only be made available to the faculty member and the Dean.

c) Professional Development Plans and subsequent progress reports are submitted to the Department Chair by the end of February.

4.2 Appointment Policy and Procedures for Department Chairs

Policy

Department Chairs are leaders of their academic departments. Duties may vary by department and college, but normally include attention to curricular and programmatic issues, including annual professional development plans, teaching schedules, strategic planning and budgeting (see Faculty Handbook, Chapter V: Academic Administration). In large departments, the Department Chair may be assisted in the tasks involved in carrying out the responsibilities of the Department Chair by a Vice Department Chair; however, the responsibilities themselves may not be delegated. The appointment, reappointment and evaluation procedures for Vice Department Chairs are identical to those for Department Chairs.

When a vacancy for a Department Chair arises, the department faculty including the current Department Chair will meet to discuss the needs and vision of the department. At the discretion of the department, the Dean may be invited to participate in some or all of the discussion. Subsequent to that meeting the department faculty will present their recommendation to the Dean. Informed by the faculty recommendation, the Dean will meet with the Provost to determine next steps.

In the case of an internal search, the Department Faculty will conduct a vote and/or develop a list of acceptable candidates with commensurate strengths and weaknesses and convey the results to the Dean. Only Regular Faculty with Career status may serve as Department Chairs, except in unusual circumstances. All Career and Career-Track Faculty members of a Department may vote in the election. The election result shall be determined by a simple majority vote of eligible faculty. Ballots must be cast either in person, by certified proxy or by absentee ballot. After appropriate consultation between the Dean and the Department Faculty, if the Dean concurs with the Department's nominee, or finds one of the candidates offered by the Department as acceptable, the Dean shall appoint the nominee as Department Chair.

In the case of an external search, which includes internal candidates, the successful candidate will follow the college's hiring guidelines for full-time, regular faculty as well as all the procedures governing faculty hiring outlined in the Faculty Handbook. Only regular faculty with career status may serve as Department Chairs, except in unusual circumstances.

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Department Chairs are subject to the same review process as regular faculty, with the Dean fulfilling the role of the Department Chair in reviewing their professional development plans. The Dean will appoint a senior member of the departmental faculty to carry out the responsibilities normally assigned the Department Chair during the contract and promotion review process.

Department Chairs are also evaluated annually. Faculty receiving course releases must submit reports regarding the activities supported (see Faculty Handbook Chapter IV, Section C, part 1.e. Adjustments to teaching commitments). Similarly, Department Chairs submit annual reports as part of their evaluation. For serious and compelling reasons, a chair may be recalled before the expiration of his or her term. The recall of the existing department chair before the expiration of his or her term may be requested by petition to the dean signed by 1/3 of the eligible voting members of the department. The Dean and the Department Chair and Department Faculty will meet to try to resolve the issue informally. If the informal solution fails, the Dean will call a Department meeting. At this meeting the department chair will be given the opportunity to contest the recall request. A written ballot on the recall will be conducted at the meeting and the result transmitted to the Dean along with a written explanation of the rationale for the decision. Informed by that information, the Dean in consultation with the Provost will determine whether to remove the Department Chair duties from the faculty member.

During an unforeseen vacancy, such as a recall, or during illness or temporary absence of a Department Chair, the Dean, in consultation with the Provost/Vice President for Academic Affairs and the departmental faculty, may recommend appointment of an interim Department Chair to the President. The interim Department Chair serves until such time as the regularly appointed Department Chair assumes or reassumes the position. In the case that a new Department Chair is required the selection of the Chair shall follow the procedures outlined above.

Department Chairs are appointed for a minimum of two years and no more than four years. At the end of the term appointment, the procedures outlined above for appointment of Department Chairs will be followed. Reappointment of an existing Department Chair is possible.

Procedures

Since Department Chairs function in a dual administrative/faculty capacity, their appointment requires substantial involvement of both the academic administration and the departmental faculty. The Department Chair must be acceptable to both. The availability of the Department Chair position must be made known to all departmental faculty, and reasonable time given for nominees to come forward. A review of the nominees and selection of a Department Chair is done in compliance with the bylaws for the faculty assembly of the college or college procedures and policies, as appropriate. The Dean recommends to the Provost a candidate from the short list. If the Dean does not recommend any nominee from the short list, the Dean needs to provide the faculty with their justification for rejecting the nominee(s) and the appointment

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process begins again. Department Chairs are reappointed (reappointment as defined by each College) by the same process as their initial appointment, and with the term length determined by the College.

Department Chairs submit annual reports that detail their accomplishments as part of their evaluation. This annual review is done in compliance with the bylaws for the faculty assembly of the college or college procedures and policies, as appropriate. At a minimum, though, the following guidelines must apply to these annual reviews:

a. The Dean will evaluate the performance of the Department Chair, with considerable input from the departmental faculty.

b. The review of the Department Chair's performance is based upon expectations, departmental plans, and/or goals that have been agreed upon by the Department Chair and the Dean.

Since Department Chairs serve at the discretion of the Dean, they may be removed from their Department Chair position and returned to the regular faculty should an annual review clearly show unsatisfactory performance.

The annual evaluation of Department Chairs described above becomes effective immediately. Faculty currently serving as Department Chairs may do so until the end of their current term of office, but can only be reappointed by the procedures described above.

4.2.1 Military Campus Programs (MCP) Curriculum Area Liaisons (CALs)

Policy

Curriculum Area Liaisons (CALs) are Military Campus Programs (MCP) faculty whose university service is focused on ensuring comparability between courses and degree programs delivered through MCP and the main campus.

CALs maintain communication with their assigned Department, Program, and Program Review Chairs in the various schools and colleges. They serve to address standards of comparability between MCP and home campus courses and programs in their assigned area as well as represent MCP to the schools and colleges. The CAL assignment is generally not compensated monetarily or through course release. See the MCP AAPPM for a full list of CAL duties and responsibilities.

Procedures

Faculty are designated CALs at the time of their faculty appointment and their CAL role is included in their faculty contract. CALs are subject to the same review process as regular faculty. The successful performance of their CAL duties and responsibilities should be considered in the reappointment and promotion process as fulfillment of their

university service requirements.

4.3 Classroom Scheduling Procedures

Policy

The proper use of educational facilities (classrooms, laboratories, performance and creative arts studios, etc.) is critical to educational effectiveness. As such, the allocation of these facilities to individual colleges and departments, and their subsequent assignment to individual courses must be justifiable and based on enrollment data and organizational effectiveness. Some allocations are governed by agreements with donors to HPU, which need to be respected.

Individual faculty requests for particular facilities such as a preferred classroom are typically not granted, except for those accommodations required under the Americans with Disabilities Act.

Courses are not to be scheduled in conference rooms unless under exceptional circumstances and with permission from the Provost.

Procedure

Educational facilities are allocated to individual colleges by the Assistant Provost for Institutional Research, Assessment, and Planning at the beginning of the course scheduling cycle (typically 6 months before the start of a semester), after consultation with college Deans, as appropriate. Some specialized facilities, such as laboratories, are designated for the exclusive use of a particular college or department, who schedule their use in accordance with college or department policies and procedures, as appropriate. Some facilities may be shared between colleges.

The allocated educational facilities (classrooms etc.) are then assigned to individual courses by Department Chairs (or their designee), usually in conjunction with course scheduling (see 4.4.7 Course Scheduling). After the first university-wide internal draft of the schedule is published by the Office of Institutional Research, Assessment, and Planning, all unassigned facilities, become available to Department Chairs university-wide, for assignment to courses (except those specialized facilities allocated exclusively to a particular college or department).

All changes to the schedule made after the first university-wide internal draft is published are typically made using the course change request form available under the “Resources” tab in Campus Pipeline. Unilateral changes by Department Chairs or the Office of Institutional Research, Assessment, and Planning should be avoided.

Current and archived schedules with room allocations are available on the P drive: schedules, and updated regularly by the Office of Institutional Research, Assessment, and Planning.

4.3.1 MCP Classroom Scheduling

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HPU has a Memorandum of Understanding (MOU) with each of Hawaii's military bases to provide education facilities for HPU courses based on the conditions in each respective MOU. Each on-site HPU Coordinator/Academic Advisor coordinates HPU's classroom assignment each term with the base Education Service Officer (ESO). Classroom assignments are generally posted on the first day of the term on or near the base education center entrance and at the entrance of the HPU office in the education center.

4.4 Course Delivery & Evaluation

General Policy

The Provost, in collaboration with the deans and input from faculty, will set standards for Average Course Size, Scheduling Process, Student Capacity of Individual Courses, Overload Payment, Course Release and Overloads, and Compensation for Directed Study Sections. These standards are to be consistent across the university, including colleges, schools, departments, and programs. These standards will be publicly available and reviewed on an annual basis.

4.4.1 Capstone Courses

1. All undergraduate degree granting programs should have a capstone experience as a requirement for the degree by fall 2013.
2. All capstone course syllabi must clearly state that the course is a capstone course and define what that means for students.

a. Definition of a capstone course:

The capstone course integrates coursework, knowledge, skills and experiential learning to enable the student to demonstrate a broad mastery of learning across the curriculum for further career advancement.

b. Defining features of a capstone course include but are not limited to:

- integrating and extending knowledge, skills, perspectives gained through previous coursework, thus demonstrating program's outcomes concretely
- reflecting on the social context, the body of literature, or the conceptual framework to which the student's capstone work poses a contribution.
- bridging coursework with students' careers after graduation
- preparing students for life-long learning
- the outcome is a tangible product to be presented to the public (written work, oral presentation, multimedia productions in various forms such as websites, CDs, DVDs)
- topics are selected by students and approved by faculty

c. Examples of Capstone experiences include but are not limited to:

- culminating senior experiences
- achievement portfolio
- senior project
- thesis
- comprehensive examination
- practicum
- internship

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- field experience, co-op experience, clinical assignment
- study abroad

(adapted from the National Survey of Student Engagement, question on Enriching Educational Experiences)

d. Examples of capstone course outcomes (how capstone experiences can be evaluated)

include but are not limited to:

1. Critical thinking: the ability to examine issues rationally, logically, and coherently.
2. Communication competence: the ability to read, write, speak, and listen and to use these processes effectively to acquire, develop, and convey ideas and information.
3. Contextual competence: an understanding of the societal context or environment in which one is living and working.
4. Professional identity: a concern for improving the knowledge, skills, and values of the profession.
5. Motivation of continued learning: exploring and expanding personal, civic, and professional knowledge and skills through a lifetime.

(adapted from Michigan Professional Preparation Network Report

e. Recommended Capstone Experience Outcomes & the Degree Qualifications Profile (DQP)

Capstone Experience Outcome	DQP Benchmark Alignment
1. Students will demonstrate the ability to examine issues rationally, logically, and coherently.	Evaluates, clarifies and frames a complex question or challenge using perspectives and scholarship from a student's major field and at least one other. (SK) Constructs a project related to a familiar but complex problem in the field of study by assembling, arranging, and reformulating ideas, concepts, designs or techniques. (SK) Constructs a summative project, paper, or practice-based performance that draws on current research, scholarship and/or techniques in the field. (SK) Formulates a question on a topic that addresses more than one academic discipline or practical setting, locates appropriate evidence that addresses the question, evaluates the evidence in relation to the problem's contexts, and articulates conclusions that follow logically from analysis. (AL)

Capstone Experience Outcome	DQP Benchmark Alignment
	Completes a field-based assignment in the course of study that employs insights from others; evaluates a significant question in relation to concepts, methods or assumptions in at least one academic field; and explains the implications of learning outside the classroom. (AL)
2. Students demonstrate an understanding of the societal context or environment in which one is living and working.	Frames a complex scientific, social, technological, economic or aesthetic challenge or problem from the perspectives and literature of at least two academic fields and proposes a "best approach" to the question or challenge using evidence from those fields. (BIK) Presents a project, paper, performance or other appropriate task linking knowledge and skills from work, community or research activities with knowledge acquired in academic disciplines; explains how elements were combined to shape meaning or findings; and shows the relationship to relevant scholarship. (AL) Develops and justifies a position on a public issue and relates this position to alternative views within the community or policy environment. (CL) Collaborates in developing and implementing an approach to a civic issue, evaluates the process and, where applicable, weighs the result. (CL) Explains diverse perspectives on a contested issue and evaluates insights gained from different kinds of evidence reflecting scholarly and community perspectives. (CL)
3. Students demonstrate a motivation to continue learning, exploring, and expanding personal, civic, and professional knowledge and skills through a lifetime.	Develops and justifies a position on a public issue and relates this position to alternative views within the community or policy environment. (CL) Collaborates in developing and implementing an approach to a civic issue, evaluates the process and, where applicable, weighs the result. (CL) Explains diverse perspectives on a contested issue and evaluates insights gained from different kinds of evidence reflecting scholarly and community perspectives. (CL)

Capstone Experience Outcome	DQP Benchmark Alignment
4. Students demonstrate the ability to read, write, speak, and listen and to use these processes effectively to acquire, develop, and convey ideas and information.	Constructs sustained, coherent argument or presentation on technical issues or processes in more than one language and in more than one medium for general and specific audiences; and works through collaboration to address a social, personal or ethical dilemma. (Comm Fluency) (IS)

SK = specialized knowledge, AL = applied learning, BIK = broad, integrative knowledge, CL = civic learning, IS = intellectual skills

f. Autonomy of degree program

Degree programs are encouraged to shape and create capstone specific curriculum that addresses the culmination of learning and potential applications for the future. Degree programs will have the autonomy and expectation of developing their own capstone experience.

g. Enrollment

Enrollment to capstone courses or courses with capstone experience will be restricted to seniors; however, advisors can override this restriction.

4.4.2 Classroom Changes and Classroom Management

As a matter of professional courtesy, faculty are expected to leave classrooms as they would like to find them when starting a class (desks neatly arranged in rows, white boards erased etc.). Faculty are also asked to observe any applicable restrictions on eating and drinking in classrooms.

4.4.3 Course Evaluations – Student

Rationale

Hawai‘i Pacific University’s (HPU) student course evaluation process has a twofold purpose, to provide a common, university-wide gauge of teaching performance, and to assist faculty members in the improvement of their teaching.

Policy

At the end of each course students evaluate all faculty members (regular and special appointment). The Dean of each college supervises the evaluation process. Deans and Department Chairs have access to each faculty member's evaluations, and faculty may visit with their Dean or Department Chair to discuss these evaluations. Student course evaluations must be submitted by faculty for all reappointment and promotion applications under the 2014 Faculty Handbook.

Development and Approval of Course Evaluations
The Faculty Assembly and Academic Council approves the HPU official course evaluation for face-to-face and online courses which is aligned with the university institutional learning outcomes, and is collaboratively developed by student leaders, faculty from different colleges, and staff with professional experience in learning assessment.

Dissemination of Student Course Evaluation
The course evaluations are web-based and a link to the survey is emailed directly to the student's my.hpu email account. Course evaluations are available 24 hours a day/7 days a week during the evaluation period and students may complete their course evaluation with any mobile device with internet access, including smart phones, tablets, or laptop computers.

Protection of Student Anonymity
Courses with 4 or fewer students enrolled are not provided a university course evaluation to protect the anonymity of the students.

Addition of Faculty & College Dean Questions
HPU's course evaluation framework includes a set number of core institutional questions that appear on all evaluation forms. In addition, faculty members are invited to add two additional questions for each of their courses, which will only appear on their individual faculty report. College Deans may also add two questions to the official course evaluations for their college. Faculty and College Deans will receive an email with a link to the invitation.

Student Response Rate
A high student response rate is important to HPU because we want to receive feedback from all our students. Therefore, all faculty members are encouraged to communicate directly with their students the importance of student feedback, mention specific improvements they have made to courses in response to previous course evaluations, and remind students to complete their course evaluations before the due date. In addition, students are provided a one week "Early Grade View Incentive" if they complete all their course evaluations prior to the due date.

Access to Faculty Individual Reports
A link to the course evaluations reports will be emailed to faculty members two weeks after final grade submission is closed. Reports may be downloaded as pdf files and saved, and are also stored on their personal Blackboard Learn page. Department Chairs will review all evaluations and, when necessary, are to discuss course evaluations with faculty members to improve teaching techniques and effectiveness. Faculty members are also encouraged to seek out teaching mentors, and access HPU's ***Center for the Advancement of Innovative Teaching:*** http://cait.hpu.edu/

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Procedures

The following procedures are based on an instruction term of 15 weeks. For terms other than 15 weeks modify the procedure accordingly:

1. Two weeks before the course evaluation survey period opens for students Faculty will receive an email invitation to add up to two questions to the set number of core institutional questions that appear on all evaluation forms. . A link in the e-mail will open the Custom Question screen in the course evaluation system. A Question Bank has been created to assist faculty in choosing questions but they may choose to create their own likert or open-ended question. Faculty may use different questions for each course, or save and use the same two questions for all their courses. Results from these customized questions will only be available to the individual faculty member. Once the survey opens to students faculty members will no longer be able to add questions.

2. Courses with 4 or fewer students enrolled will not be provided a university course evaluation to protect the anonymity of the students. Therefore faculty will not be invited to add questions for a low enrolling course. Faculty members are encouraged to explore alternative methods for receiving teaching feedback in low enrolling courses (e.g. small group discussion with a guest faculty member to gather anonymous feedback on course content and teaching effectiveness, or an informal discussion between faculty member and student for a directed study).

3. All faculty members are encouraged to communicate directly with their students the importance of student feedback, mention specific improvements they have made to courses in response to previous course evaluations, and remind students to complete their course evaluations before the due date.

4. HPU's Student Course Evaluation System provides an "Early Grade View Incentive" for the students. Students who complete all their course evaluations by the due date will be able to view their final grades a week earlier then students who did not complete their course evaluations. Therefore, for the incentive to work we request that faculty remove any "total/final grade" column if they are using grade book in Blackboard Learn. Faculty are encouraged to continue to use grade book for quizzes, exams, assignments or point systems for their course, only do not total the final grade.

5. Students will be provided two weeks to complete their course evaluations and receive a 1-week and 3-day reminder. A link to the survey is emailed directly to the student's my.hpu email account. They may also complete their course evaluations by logging into their Blackboard Learn.

6. A link to the course evaluations reports will be emailed to faculty members two weeks after final grade submission is closed. Reports may be downloaded as pdf files and saved, and are also stored on their personal Blackboard Learn page.

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Questions:

- For technical assistance contact: *HPU Helpdesk* at helpdesk@hpu.edu or (808) 566-2411
- For course evaluation reports contact: *Office of Institutional Research: Mandy Bohnet (Academic Systems Analyst)* at wbohnet@hpu.edu or (808) 544-0224
- For resources and more information: www.hpu.edu/courseevaluations

4.4.4 Course Incompletion Policy

Policy

The assignment of incomplete grades are reserved for cases of illness, unforeseen predicaments, military assignments, or other emergencies that prevent a student from completing the course by the due date. In such cases, the Instructor should ask for documentation, and has the option of issuing an "Incomplete" grade at the end of the semester. If granted, the "Incomplete" grade will allow a student a maximum period of six (6) months to complete the appropriate course work. If the student does not complete the assignment/s and the Instructor does not submit a grade to the Registrar's Office by the end of the six-month period, a grade of "F" will be assigned. A student cannot graduate with an outstanding "Incomplete" grade.

Procedures

1. Instructor and student enters into an agreement regarding the completion of _____(specify).
2. Instructor and student will complete the Incomplete Grade Request form and affix their signatures in the appropriate spaces.
3. Instructor provides a copy to the person or department stated in the distribution list at the bottom of the form.
4. Upon completion of the incomplete work, the faculty will evaluate the student's work and will award the earned grade. Together with this Incomplete Grade Request form, the faculty will submit a Change of Grade form to the Registrar's Office within 30 days of the end of the 6 month period or sooner, as appropriate.

4.4.5 Course Releases and Overload Compensation

Policy

Course releases for research, scholarly activity, or special pedagogical projects may be awarded to Regular Faculty, as specified in the Faculty Handbook (Chapter IV, C, 1e. Adjustments to teaching commitments). Only in exceptional circumstances, and with the approval of the Dean and/or the Associate VP of Off-Campus Programs as applicable, may a Regular Faculty member with such a course release carry an overload.

Regular Faculty members who serve on graduate thesis committees or as readers of graduate theses will be compensated or have their teaching commitment adjusted

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according to the published policies of the individual Colleges. The University also compensates certain other activities with a choice of overload pay or course release time. Examples include: academic coordination activities, serving as an officer of the Faculty Assembly, and serving as a Program Review Chair.

Procedure

Course releases are awarded in compliance with the bylaws for the faculty assembly of the college or college procedures and policies, as appropriate. At a minimum, though, the following guidelines must apply:

1. There is a mutual written agreement between the faculty member and the Dean of the College awarding the course release.

2. This written agreement specifies the tasks and deliverables being compensated for by the course release.

3. Faculty accepting a course release must submit a report to the Dean at the end of the semester regarding the activities involved and this report will be made available to the Department Chair and the college faculty.

4.4.6 Course Rosters and Student Attendance

Course Rosters

Course Rosters are available through Campus Pipeline.

Attendance

Each faculty member will design his or her own procedure for dealing with requirements for attendance, punctuality (and the expectations for following them). Faculty should be aware that the Student Handbook states that regular attendance is expected at all laboratory and class sessions. Whatever attendance procedures are required, the instructor should indicate them in the syllabus. The instructor's expectations, on a day-to-day as well as a unit-by-unit basis, should be clear to all students at the outset of the course. By informing students of his or her expectations in such a specific manner, the instructor may motivate the student to attend regularly and punctually. Instructors may deal with chronic absenteeism and tardiness by issuing lower grades consistent with the syllabus.Normal appeal processes apply.

Please note that during the course of the semester, the University's Veteran's Coordinator as well as the Athletic Department may request attendance/performance reports regarding certain students. Faculty are strongly encouraged to respond to these requests in a timely manner. In addition, if a student stops attending class, the Registrar's office will request from the faculty member the student's last date of attendance for university records.

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4.4.7 Course Scheduling Procedures

Policy

Deans have ultimate authority to decide which courses will be taught, when they are taught and by whom. The Dean's authority not-withstanding, the teaching of students at all levels is to be distributed among Regular Faculty members without regard to rank or seniority, within the constraints of institutional needs and faculty contracts. Likewise, Regular Faculty normally fulfill their teaching commitment during the Fall and Spring semesters. They are also normally given preference over special appointment faculty for course assignments.

Regular faculty will not be required to teach beyond the usual Teaching Period (Fall and Spring semesters), unless specified by mutual written agreement between the Faculty member and their Dean. Other options, including not using special appointment faculty, should be considered to avoid the need for teaching beyond the Teaching Period.

Main campus-based regular faculty may also be required to teach in the MCP based on individual program needs and coordination between MCP and the colleges.

Should a scheduled course be canceled, Regular Faculty are generally expected to fulfill their teaching commitment (if needed) by teaching a substitute course during the same semester or later in the academic year, or perform other duties as determined in consultation with the dean.

Procedure

While Deans are ultimately responsible for course schedules, courses are scheduled by Department Chairs (or their designee), in consultation with faculty. Rooms are allocated annually to individual Colleges by the Office of Institutional Research and Academic Support, and assigned to courses by Department Chairs.

The schedule of courses is published online (www.hpu.edu and Campus Pipeline) prior to each registration period.

4.4.7.1 Military Campus Programs Course Scheduling Procedures

Policy

In Military Campus Programs, the Dean, Off-Campus Programs, has administrative authority for the scheduling and staffing of courses delivered on Oahu military installations and through its online program. MCP obtains approval fromthe academic college for approval of faculty to teach courses and other academic matters. The teaching period of faculty administratively assigned to MCP includes all four MCP terms. They are not required to teach during the interim periods. MCP home-based regular faculty

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may also be scheduled to teach on the main campus based on individual program needs and coordination between MCP and the colleges.

Procedure

Courses are scheduled by the Director of Administration, MCP under the supervision of the Dean, Off-Campus Programs and the Department Chair, MCP, and in consultation with the College Deans and Department Chairs (or their designee) as appropriate. Memoranda of Understanding (MOU's) with the military services and military installations must also be considered. Classroom space allocation on military installations is provided by HPU's base Academic Advisors/Coordinators.

Main Campus faculty requesting to teach in MCP will submit a request in writing (use the MCP Course Request Form) with the approval of their Department Chair to the Director of Administration, MCP. The request should be made 120 days prior to the respective term. First consideration will be given to those needing to meet contractual course obligations. Faculty members who teach in MCP must agree to the minimum expectations required by MCP (see MCP Faculty Policies and Procedures Manual).

4.4.8 Course Syllabus

Faculty members are required to provide students with a syllabus for each course they offer to teach. The course syllabus is a document that organizes course coverage, guides learners, and helps them to visualize the course and know their responsibilities. It is usually presented to the student before the course begins. The more detailed the explanations of activities and policies, the more students understand what is required to fulfill course requirements. The course syllabus provides documentation that is also valuable for institutional review and accreditation.
A course syllabus should cover all of the course requirements, including, but not limited to the following information:

1. Number and name of course; semester or term; meeting days, times, places.
2. Instructor contact information: Office Hours, Office Location, Telephone Number, E-Mail Address.
3. Course description, incorporating the essential elements of the Hawaii Pacific University Catalog description and an explanation of the present instructor's unique approach to the course.
4. Relationship of undergraduate courses to one or more of the Five Themes.
5. List of required and optional textbooks and supplementary resources required.
6. Course learning objectives and measurable outcomes.
7. Methods and mode of instruction.
8. Course meeting schedule.
9. Assignment,and assessment schedule.
10. Modes of evaluation.
11. Grading scale including whether plus or minus grades will be used.

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12. Policies specific to the course (assignments, examinations, etc.).
13. Include reference to the following policies: Attendance Policies; Participation Policies, Make-up Work and Late Submissions Policies, Academic Honesty Policy, Special Needs Policy, Bookstore Policy, ADA Policy, Professional and Ethical Conduct Policy.

Faculty are required to post their syllabi one week before the start of the semester, using the current university learning management system (e.g., Blackboard).

Colleges and programs may need an additional common syllabus or course policies document. Professional programs such as Social work, Education and Nursing may need policies specific to their accreditation bodies. If there are proposed changes to the course syllabus, please refer to the by-laws of the University Faculty Assembly and College Faculty assembly.

When there are multiple sections of a course, and the sections are taught by different instructors, the instructors should work with their program or department chair to ensure that a common approach is used in each section. Using a common syllabus is one way to handle this.

Assessment issues may also steer faculty towards using common assignments or assessments in these multi section courses.

4.4.9 Credit to Contact Hour Load

Policy

HPU defines credit to contact hours according to the type of course conducted; however, contact hour equivalency is established for face-to-face, web-based, laboratory, studio work, clinical work, independent study, and internship courses. Types of web-based courses (web-enhanced, e-courses, hybrid) are defined in section 4.4.16 of this manual. For each hour of a course credit students should expect to have two or more additional hours of study outside of the classroom. Study out of the classroom may include reading, writing, or completion of other course projects.

The credit to contact hour policy is:

- for a traditional face-to-face classroom setting of lecture or seminar the student should expect to have one hour per week per semester of course contact for each registered credit (1:1 ratio) over 15weeks. Traditional courses have a standard amount of in-class seat time of 55 minutes per contact hour.

- for a course offered in a term of less than 15 weeks including finals week, or on varying schedules of term length (e.g.: 7 or 10 week summer course), the credit to contact hours shall remain the same as the traditional face-to-face course (1:1

ratio) such that one credit course hour is taught over an equivalent period and consists of 14 hours of contact during the term. Hence, any course will contain the same contact hours, preparation time, content, and requirements as the same course offered over a different period of time.

- for a laboratory, practicum, workshop, clinical course or other academic work leading to the award of credit hours, the student should expect to have a minimum of 3 hours per week per semester of course contact for each registered credit (1:3 ratio).

- Online (see glossary for definition) and hybrid (see glossary for definition) courses will vary according to the time and learning processes implemented in the course, and by individual students, but the time and effort will approximate the traditional face-to-face classroom for course content delivery.

An example of the University policy follows. A traditional three credit lecture course will have 42 contact hours over the term, which is three hours of in-class lecture weekly. The students will be expected to complete 6 or more additional hours of homework or out-of-class work each week. Combining the lecture and out-of-class work will result in a minimum of 9 hours of course work per week, for the 14 weeks.

The University's course schedule designates the type of course and shows the weeks, hours and days that courses meet. To determine the expected seat time for hybrid courses students may review the faculty posted syllabus each term on Pipeline.

Regardless of how the courses are offered, all classes bearing the same department code, number, and course title will be consistent in terms of purpose, scope, quality, assessment and expected learning outcomes with each other. Furthermore, both the face-to-face and web-based courses shall meet all the standards set forth by the University for implementation of the curriculum.

Although various course content delivery methods have advantages and disadvantages, equivalency should be established between face-to face and web-based courses. Consideration is given to:

- the pedagogical advantages and disadvantages of various modes of learning (e.g., auditory or tactile)
- the effect of technologically-mediated content on the learning experience,
- the benefits for students to view the instructional materials face-to-face or online,
- the impact of translating content into varying modes of instruction (such as webcast lectures, audio and video recordings, synchronous or asynchronous web-based discussions, moderated discussions, group work rooms, chat rooms and email),
- the training required by the faculty and student to work successfully in the online environment,
- what specific technical support is available for instructors and students(including plans for malfunction, disruption, or unavailability of technical support)

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- and, the specific technical or pedagogical expertise (for the student or faculty) necessary to participate in the course.

Procedure

The University maintains regular review to assure that credit hour assignments are accurate and reliable. Course quality assurance occurs through multiple venues:

- Course content and academic assessment of materials is conducted through the Program Review process (Academic Program Review Guide, 5th Edition).

- Peer and student course evaluations are conducted each semester (see policy 3.3.3 and 3.3.4 in this manual)

- The web-based DEQA Policy identifies the process for new course approval, the required faculty qualifications, and process for course preparation (see policy 3.3.18 in this manual)

4.4.10 Credit Hour Policy

Background

Under federal regulations effective July 1, 2011, both institutions and accrediting agencies are required to come in to compliance with regulations regarding the definition and assignment of credit hours under Section 600.2 and 600.24. Under federal regulations, all candidate and accredited institutions are responsible to comply with the definition of the credit hour as provided in section 600.2 which defines credit hour as:
Except as provided in 34 CFR 668.8(k) and (l), a credit hour is an amount of work represented in intended learning outcomes and verified by evidence of student achievement that is an institutionally established equivalency that reasonably approximates not less than –

1) One hour of classroom or direct faculty instruction and a minimum of two hours of out of class student work each week for approximately fifteen weeks for one semester or trimester hour of credit, or ten to twelve weeks for one quarter hour of credit, or the equivalent amount of work over a different amount of time; or
2) At least an equivalent amount of work as requited in paragraph (l) of this definition for other academic activities as established by the institution, including laboratory work, internships, practica, studio work, and other academic work leading to the award of credit hours.

Policy

Standard, Face-to-Face Courses:
One credit hour constitutes a minimum of three class work hours where a "class work hour" is defined as 55 minutes. Typically class work hours include one hour of direct faculty instruction ("seat time") and a minimum of two hours out of class work by the student per week of the 15 week semester for a one credit hour course. Out-of-class work includes time spent preparing for

class, studying, doing homework, conducting research, completing assignments etc. A standard 3 credit class thus meets for at least 41 contact hours ("seat time") per semester and students should complete a minimum of 82 hours out of class work.

Online Courses:
The expectation for online courses is that students will spend the same amount of time working to achieve the learning outcomes of a course as they would in the same course offered in a face-to-face modality. Thus, if a standard face-to-face class requires a total of 123 work hours (41 of "seat time" and 82 of "out of class work") to accomplish the learning outcomes the online equivalent similarly necessitates 123 total work hours over the 15 week semester by the student.

Laboratory Courses:
One (1) semester credit hour consists of the equivalent of a minimum of three (3) hours of laboratory work per week for fifteen (15) weeks or a minimum of 41 hours of "seat time".

Independent or Directed Study:
Courses where students are working on independent projects, such as in thesis/dissertation and independent or directed studies, will conform to a minimum of three hours of student work per credit hour per week throughout the course of the semester or the equivalent work distributed over a different period of time.

Terms Shorter Than Fifteen Weeks:
A course offered in a term of less than 15 weeks shall contain the same contact hours, preparation time, content, and requirements as the same course offered over a 15-week semester.

Reviewing Credit Hour Requirement When Implementing New Courses and Programs

New courses should be reviewed and approved by the department faculty and the pertinent college's curriculum committee as well as the University Faculty Assembly curriculum committee for compliance with the credit hour policy. The periodic compliance review of the credit hour policy, called for by WASC, should be incorporated into each department, school, and college's established curriculum review schedule.

Guidance in Meeting WASC Credit Hour Requirement

1. Guiding principle: One credit hour equals one 55 minute hour of direct faculty instruction and a **minimum** of two hours of out-of-class student work per week for 15 weeks. Generally, one credit hour unit is granted for a minimum of 41 hours of student work.

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CREDIT HOURS	DIRECT FACULTY INSTRUCTIONAL TIME PER CREDIT HOUR	STUDENT OUT OF CLASS WORK (MINIMUM) PER CREDIT HOUR	DIRECT FACULTY INSTRUCTIONAL TIME PER SEMESTER	STUDENT WORK OUT OF CLASS (MINIMUM) PER SEMESTER	TOTAL HOURS PER SEMESTER
3	**55MINS**	**110 MINUTES**	55MINS x 3 x15 WEEK SEMESTER **41.25 HOURS**	110 MINS X 3 X 15 WEEK SEMESTER **82.5 HOURS**	**123.75 HOURS**

2. Include information on expected amount of work on course syllabus. A course's credit hours should reflect the amount of work required to earn those credits.

3. A course offered in fewer than 15 weeks shall contain the same total hours – contact hours, preparation time, content, and requirements – as the same course offered in the standard 15-week semester.

4. Regardless of mode of instruction, courses should be consistent in terms of purpose, scope, quality, assessment, and expected learning outcomes with other courses with the same department code, number, and course title.

4.4.11 Directed Study Courses

4.4.11.1 Regular Courses

Policy

Directed study courses are courses offered on a tutorial basis as independent reading or project courses. They are open only to qualified students under specific conditions such as it is a student's last term before graduation and a required course is not offered anywhere. The student must provide justification and receives approval from the appropriate Dean upon recommendation from Department Chair or the Associate Dean (Academics), MCP as appropriate.

Procedures

- Student requesting a directed study course should contact the Academic Advising Center to initiate the approval process.
- Student should fill out the direct study form (do not sign yet) and email it to the faculty member.

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- It is the faculty member's discretion to support or deny the request (no obligation). If the faculty supports the request, he/she will send the course requirements to the student.
- If the student agrees to the requirements, he/she will sign the form and send it back to the faculty member.
- The faculty will acknowledge by also signing the form and forward it to the appropriate Department Chair and Dean for approval. Department chair will work with faculty to decide on the mode of delivery (by appointment, hybrid, online)
- Once the course is approved, it will go to the registrar's office. The registrar's office will register student for the class. Department administrative assistant will generate a faculty contract to be reviewed by Dean and HR.

4.4.11.2 Procedures for MCP

- MCP Students requesting a directed study course should contact their Coordinator/Academic Advisor to initiate the approval process.
- Student should complete a Directed Study Request Form, a General Petition form which requests the DS and states the reason why it is needed. The student can indicate the faculty member he/she wishes to teach the DS.
- Coordinator/Academic Advisor forwards the completed request form and GP and attaches the student's degree plan to the Dean, Off-Campus Programs (OCP) for consideration and confirms the assignment of faculty.
- Associate Dean (Academics), MCP recommends approval to the AVP of Off Campus Programs.
- Once the course is approved, the Assistant to the AVP of OCP will register the student for the class and generate a faculty contract to be reviewed by the AVP of OCP and HR.

4.4.12 Faculty Absences and Class Cancellations

Policy

Faculty members are expected to teach their scheduled classes, except in cases of personal or family crises, family bereavement issues, short term medical issues, and professional meetings or other scholarly obligations the timing of which is outside the faculty member's control. Faculty members must inform the Department Chair of their college (or Assistant Dean, Academics of MCP where applicable) of any anticipated absence as far in advance as possible.

Procedures

Personal Medical or Family Emergencies

- Instructors for Downtown classes who are ill should call the faculty support center (808) 544 – 0233, or for Hawai'i Loa Campus classes (808) 236 – 5865 as soon as possible so the OAA can post an official notice on the classroom door in time to alert students before classes start.

- Instructors for Military Campus Programs who are ill should call the respective HPU base office.

    - Sand Island USCG – (808) 543-8056
    - Hickam AFB – (808) 543-8053
    - MCBH Kane'ohe Bay – (808) 544-9313
    - Pearl Harbor NS – (808) 687-7081
    - Schofield Barracks – (808) 687-7093
    - Tripler AMC – (808) 544-1493

- For absences of one week or less the faculty member should inform her/his Department Chair or Dean (or AVP of OCP where applicable), and make appropriate arrangements to cover or reschedule the missed classes.

- The death of a family or household member is covered by the bereavement policy posted by Human Resources, with faculty expected to make appropriate arrangements to have their classes covered in such instances.

- Absence of more than one week due to personal or family illness triggers the ability to initiate the Family and Medical Leave (FMLA) process. Procedures for invoking FMLA are available in section 7.9.2 of this manual. If a faculty member is absent for more than one week from an assigned course without contacting the Department Chair and/or HR (or a legal representative for the faculty member contacting the Department Chair and/or HR), then the department may appoint a substitute and/or the class may be reassigned. The Department Chair will notify the Dean and will contact HR to follow-up on the absence.

Planned Absence for Professional Reasons

Absences from class related to professional meetings or other scholarly obligations should not be planned for more than a week per course during any given semester unless under exceptional circumstances involving multiple scholarly obligations. Faculty should avoid scheduling professional travel when responsible for teaching during a compressed term (4-7 week terms), or when such travel would interfere with delivery of an online course and/or service obligations.

- If a faculty member needs to be absent from class, prior written approval must be secured from the Department Chair and/or designee, and Dean and/or designee. For

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approved absences, faculty should give reasonable advance notice and make appropriate arrangements to cover or reschedule the missed classes.

- It is the faculty's members responsibility for identifying, recruiting and securing approval for a qualified substitute. The use of substitute instructors requires the approval of the appropriate Department Chair and Dean.A substitute instructor should be an individual qualified in the discipline who will be responsible for instruction, not merely for monitoring student activity. The instructor is responsible for providing clear lesson plans to the substitute.

- Classes may not be cancelled arbitrarily, made up at arbitrarily selected times, or dismissed early or begin late.

- If a class session is rescheduled to accommodate a faculty member's absence, it must be rescheduled at a time when all students are able to attend.

4.4.13 Final Exams and Course Work Completion

Final examinations are valuable for University credit courses because they can fulfill two important academic objectives; student integration of instructional material and end-of-semester evaluation of student achievement. However, valid means other than the final examination exist for accomplishing these objectives (e.g., term paper, oral presentations, final project report, take-home examinations, etc.). Course instructors should determine which of these methods is most appropriate and effective in each undergraduate credit course taught. Department, College, or Accrediting body requirements may restrict a faculty member's choice of methods to assess learning and may supersede this policy. Faculty must adhere to such policies where they exist. Regardless of which type of activity is chosen, care must be taken not to interfere unduly with the full complement of scheduled instruction of the student.

In determining and scheduling student assessment activities at the end of the semester, instructors should adhere to the following:

1) Students should be notified via the syllabus distributed during the first week of class what method of final assessment will be required in the course (final examination, paper, etc.).
2) In order to assure fairness for students, minimize conflicts, and extend consideration for faculty colleagues, final examinations in all undergraduate courses must be given according to the OAA schedule (distributed in fall and spring semesters) even if the faculty member and all students in the class agree to a change.
3) If a student is scheduled for more than two final exams in one day the instructor(s) of classes with exams with end times scheduled after the first two exams (except for online classes with an exam period greater than 24 hours) is obligated to adjust the student's exam time provided the student notify them about it by the middle of the term.

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4) Instructors should not use the class sessions of regular terms for exams in lieu of the assigned exam period. Nor should final assessment assignments given in lieu of a final exam be due prior to the end of the final day of instruction. During the summer sessions, winter intersession, and accelerated off-campus courses, the last session of actual instruction is the date the examination is given.
5) The instructor may use discretion in scheduling the due dates of out-of-class end of semester assignments other than final examinations. Normally, the due dates for such assignments should not occur later than the "End of Term" as designated by the official HPU Academic Calendar.
   See http://www.hpu.edu/AcademicCalendar/index.html for relevant dates.
   Students who do not complete all course assignments by the "End of Term" may be issued Incomplete Grades. Please see the Incomplete Grade Policy for procedures.

Rescheduled Final Examinations:

Instructors are under no obligation to schedule exams for students other than at the scheduled exam time. If rescheduled the exam time shall be after the end of the last course session and prior to grade submission closure. Rescheduled final exams, based upon good and sufficient reasons and consistently applied, shall not in any way prejudice the interests and educational experience of other students in the class.

Access to Final Exams:

Instructors are expected to devise some system by which students can gain access to their final examinations and, if necessary, communicate with the instructor about them. Any student shall be permitted to review his or her graded final examination in the presence of an instructor. Any controversy arising from this review shall be dealt with in accordance with the university procedure for the appeal of grades and academic actions. A final examination that is not returned to a student will be kept available for a year for review. In the event that the instructor is not available for the review, the responsibility shall rest with the department head of the instructor offering the course or his or her designee. Instructors are not responsible for retaining unclaimed coursework (including examinations) beyond a year after the conclusion of the course.

Final exam grades with names or other student identifiers (such as student numbers, social security numbers, pictures, etc), or final exams themselves, shall not be shared in a public manner (e.g., posting on office doors, sending a list by e-mail). The use of e-mail or social media not through the secure University communication methods is not appropriate. Individual communication between instructor and student regarding grades is, of course, appropriate using secure access by the student to their records or using official University e-mail.

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4.4.14 Proctoring Policy

Policy

Each faculty member is responsible for conducting their own course exams at the designated class time.

There are no centralized designated testing services at the University. Situations exist, however, that may require test proctoring by other than the assigned course faculty.

All in-person, in-class and makeup exams shall be proctored by a HPU faculty or their qualified designee, A proctor designee must be approved by the Department Chair. It is not reasonable to ask regular department staff to proctor exams unless the department staff are academically qualified. The intent is for the proctor to oversee impartial testing that ensures the security and integrity of the exam process.

All proctors are responsible for maintaining a professional educational setting for the exam.

Procedure:

When circumstances require a proctor, notification must be given to the Department Chair in advance by the responsible course faculty as to who will proctor the exam. The exam must be provided to the proctor at prior to the date when the exam is to be administered, and. it is the responsibility of the professor to retrieve it from the proctor in a timely manner. The proctor is responsible for maintaining test security before and after the exam.

The proctor must be provided with detailed instructions for the conduct of the examination. Proctors must be prepared to follow reasonable testing standards.

Proctors are required to minimize opportunities for academic misconduct.

- Students will provide at least one form of picture identification (student ID, official state-issued ID, etc.) for review.
- If multiple students are taking an exam at the same time and in the same location, students should be asked to:
    1. leave seats vacant between them if there is space in the classroom,
    2. have all bags, electronic devices, books or other written materials left in a visible designated location in the classroom, and
    3. get drinks and use restrooms before the beginning of the exam.
- If calculators or other required electronics or tools are needed during an exam, they should be discrete from other electronic devices.

Proctoring obligations for all approved special accommodations must be maintained. Please note the policies described in the manual in section 2.2 Americans with Disabilities Act are adhered to for all testing.

4.4.14.1 MCP

Testing policies and procedures are the same as 4.4.14 except that, in addition to the Center for Academic Success – Testing Services (CAS) being available to proctor, faculty teaching in MCP may contact one of the base HPU Coordinators or one of the HPU National Test Center Administrators on base to arrange the proctoring of an exam.

4.4.15 Textbook Ordering

Textbook ordering is conducted under the supervision of the appropriate dean in conjunction with the department chair, program chairs, academic liaison and the faculty. The administrative assistant of the department will check with faculty on textbook selection. Orders are processed by the department, and then sent to the University Bookstore manager. Although faculty members teaching courses offered in a single section choose their own texts. See "Textbook Policy for Multi-Section courses" for more information.

Faculty wishing to recommend the adoption of different textbooks for future academic terms should discuss such recommendations with their discipline faculty, the respective program chair, and/or appropriate department chair.

Deadlines for textbook ordering are as follow:

Textbook orders are due approximately 12 weeks prior to the start of each term. There are some instances when the dates are different. For Fall, the orders are due on or beforeApril 1st. Bookstore asks for Fall orders early so that they can buy back the books from students before they leave in May. For Spring textbook orders are due on or before October 1st, and for summer order are due on or before March 1st.

Faculty who need to obtain textbook copies (also known as "desk" copies) to prepare for an upcoming class may receive one textbook per course (not per section). Such requests should be made to the administrative assistant of the appropriate department.

4.4.15.1 Textbook Policy for Multi-Section Courses

Textbook decisions fall under the purview of the department, program or discipline. Each department will establish their own textbook adoption process. Faculties are encouraged to review textbook adoption every semester with respect to the latest development in the discipline (including required or optional text). Once the textbook is adopted, the department must coordinate any changes.

4.4.16 Distance Learning

Many distance learning courses are available for students interested in distance learning opportunities, those courses may be synchronous or asynchronous in an online format (OL).

A web-enhanced course is a classroom-based course that has, as required support material, an instructor-created web page used weekly by all students in the course. It is strongly recommended that students enrolling in Web enhanced courses have their own access to a computer and the Internet. Students should have competency in accessing and using e-mail and the internet.

Online courses entail little or no interaction in a traditional classroom setting; 80% or more of the course content is delivered via web based platforms.

Hybrid (blended) courses deliver 30% to 79% of the material and interaction via web based platforms.

4.4.16.1 Hybrid Courses

Policy

Courses must be approved through the processes established in the HPU Distance Education Quality Assurance Policy (DEQAP) found below. Both the sponsoring college and the Center for the Advancement of Innovative Teaching (CAIT) are involved in the approval process before an online course may be implemented.

If a course is University approved to be offered in an online format it may be conducted completely or partially online. Hence, a hybrid format of an approved online course does not require additional permission to offer it in that format, however, the course schedule must show the weeks, hours and days that the face-to-face portion of the course meet. Online or hybrid courses must be listed as such in the course schedule (course catalogue 2012).

Procedure

The procedure to obtain approval is found in the approved Distance Education Quality Assurance Policy (DEQAP) found below.

4.4.16.2 Online Course Approval Procedure

Distance Education Quality Assurance Policy

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All HPU courses and programs offered online and in hybrid formats will be subject to a systematic process that ensures academic quality through a series of procedures. These procedures support the development and assessment of online and hybrid courses and programs. The process will begin with the assignment of a faculty member to a course. It continues with the training of that instructor, a summative review of the course, and the gathering and analysis of assessment data and other program review materials. Assistance will be provided by the Center for the Advancement of Innovative Teaching (CAIT), in cooperation with the colleges and academic programs. Analysis of course content and academic assessment material will be conducted through the Program Review process (Academic Program Review Guide, 5th Edition).

Distance-education courses and programs shall comply with all relevant standards, practices, procedures and criteria that have been established by the Western Association of Schools and Colleges (WASC). (Academic Program Review Guide, 5th Edition).

This Policy will continue to develop to address other aspects of quality online education.

Justification

As with many universities, HPU's online offerings and enrollments have expanded rapidly. Additionally, regional accrediting bodies have focused greater attention on the delivery and management of online curricula. HPU has informed WASC that the University uses an established protocol for the development and evaluation of online courses.

Literature pertaining to the development and implementation of online courses in higher education illustrates that established institutional policies promote greater student achievement and satisfaction. Such policies also enhance instructor satisfaction and performance. Furthermore, established institutional policies and procedures allow for the assessment of learning and for the preparation of reports to accrediting agencies based on their standards.

Application

This policy applies to all HPU online programs and courses, including the various forms of "hybrid" at the University. Courses created as Directed Studies are not subject to this policy or procedures.

The following definitions, adopted from the Sloan Consortium, shall apply:

- Hybrid/Blended courses deliver 30% to 79% of the material and interaction via web based platforms.
- Online courses entail little or no interaction in a traditional classroom setting; 80% or more of the course content is delivered via web based platforms.

Accountability

The Colleges are responsible for ensuring the academic and the overall delivery quality of their courses and programs and may expand upon this policy for their disciplines. The Center for the Advancement of Innovative Teaching (CAIT) is responsible for supporting and coordinating, with the Colleges, the design and evaluation of courses covered by this policy. CAIT is responsible for training and instructional technology support to the Colleges.

Implementation

The Quality Assurance Policy will be implemented through a series of steps conducted in a faculty mentorship environment. These procedures have been developed through the collaboration of the CAIT and the Colleges. The procedures that follow constitute the minimum required processes. They may be expanded upon according to the specific program requirements determined by the Colleges. All courses will be delivered in the University approved Learning Management System (LMS). Exceptions may be made by the approval of the College Dean in consultation with CAIT. Use of an LMS other than the one maintained by the University should be limited to situations where it can be shown that the LMS cannot meet the needs of the curriculum.

Each College will assign a liaison between the College and CAIT. The liaison is responsible for ensuring that academic content adheres to the program's requirements. The Colleges in conjunction with the Office of Academic Affairs will determine the source of funding for the liaison positions.

<u>Faculty & Course Approval and Training Procedures (FIRST TIME TEACHING ONLINE OR HYBRID)</u>

1. Colleges determine faculty academic qualifications and assignments to teach courses.
2. Colleges inform the Center for the Advancement of Innovative Teaching (CAIT) of faculty assigned to teach an online or hybrid course. CAIT will contact faculty to schedule times to conduct training. Preferably this process should begin no fewer than six (6) months prior to the start of the term the course is scheduled. CAIT will provide the Colleges with regular updates on faculty training progress.
3. CAIT will assist the faculty member in the design of the course and syllabus.
    a. A University approved rubric will be used for the design of the course.
    b. The College/Department will assess and approve the syllabus for academic content.
    c. CAIT, with guidance from the discipline, will advise the faculty member on pedagogic approaches and assist in incorporating them into the course.
4. CAIT will notify the College when the course is ready for College Approval

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5. The course should be ready for students 2 weeks prior to the start of the term. Structure and format for the whole term will be loaded. Content for the first 2 weeks will be in place. Subsequent content can be added as the term progresses.
6. The Faculty member will be assisted by CAIT with formative assessment described in items 7 through 10.
7. Prior to the beginning of a term, courses selected for Program Review and Peer Evaluation as well as new courses developed under this policy, will be reviewed by CAIT staff. The rubric will be used for the design of the course. Items reviewed will include: Academic Content, SLO incorporation, benchmarks.
8. Start of the term: During the 1st 3 weeks of the term CAIT will assist the faculty member in the operation of the course components and the faculty student interactions
9. Mid-Term: Assessment of; previously noted items, class interaction, begin collection of artifacts for Program Review, Student Preparations for Final Exams and Research Projects
10. Post Term Review and Peer Evaluation: College Rep and CAIT review course in its entirety with the faculty member. Program review materials gathered.
11. Final course review and recommendations given to the college.

<u>Faculty & Course Approval Procedures (PREVIOUSLY TRAINED)</u>

1. Faculty members who have previously completed the preceding process will not be required to repeat it for each subsequent new course offered. However, new courses will be evaluated for Quality Assurance using the University approved design rubric.
2. CAIT will assist the faculty member in the design of the course and syllabus.
3. The same University approved rubric will be used for the design of the course.
4. The College/Department will assess and approve the syllabus for academic content.
5. CAIT, with guidance from the discipline, will advise the faculty member on pedagogic approaches and assist in incorporating them into the course.
6. CAIT will notify the College when the course is ready for College Approval
7. The course should be ready for students 2 weeks prior to the start of the term. Structure and format for the whole term will be loaded. Content for the first 2 weeks will be in place. Subsequent content can be added as the term progresses.
8. For courses approved prior to this policy, CAIT will coordinate an evaluation of the course design as part of the disciplines' regular Program Review Processes per Academic Program Review Guide (Academic Program Review Guide, 5th Edition).

CAIT will create and maintain a database of faculty course approvals and training to teach online or in hybrid formats. This database will be made available to the colleges to aid in their scheduling of courses.

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4.4.16.3 MCP Distance Learning Courses

OCP/MCP follows the same policies and procedures for distance learning courses as the main campus. OCP/MCP has its own online liaisons and the DEQA policy is operationalized with OCP/MCP serving the role of the college except in steps where specific academic discipline approval is appropriate. Additional standards and requirements apply for online courses offered in OCP/MCP and can be found in the unit's Faculty Policies and Procedures Manual.

4.5 Degrees

4.5.1 Definitions Policy

This policy defines the degrees awarded by Hawai`i Pacific University.

Degree Definitions

Associate Degrees: An associate degree from HPU represents the completion of at least 60 semester hours of credits, including specific general education and other requirements as prescribed for each degree.

Baccalaureate Degrees: A baccalaureate degree from HPU generally represents the completion of 120 semester hours of credits, of which a minimum of 36 are upper division credits (level 3000 and above); completion of the general education requirements as well as the specific requirements prescribed for each degree program and major area of study; attainment of a cumulative GPA of at least 2.0 in all courses taken at HPU and all courses required and counted towards a major. Some degrees may have higher GPA and additional requirements.

Bachelor of Arts and Bachelor of Science degrees are normally distinguished by the level of emphasis placed on language, a liberal education, quantitative and applied skills. Most Bachelor of Arts degrees at HPU require the study of a modern language and are awarded in the humanities and arts. Bachelor of Science degrees are usually more specialized, with an emphasis on quantitative and/or applied skills.

Masters Degrees: A masters degree from HPU represents a first graduate degree which includes the completion of at least one year post-baccalaureate study (or its equivalent), including specific requirements prescribed for each degree and a capstone experience (professional paper or research thesis), as defined for each degree. The distinction between Master of Arts (M.A.) and Master of Science (M.S.) degrees is similar to that between Bachelor of Arts and Bachelor of Science degrees.

Degrees involving more than one major or institution:

Some degrees involve more than one institution and some students participate in more than one major simultaneously. The possibilities are summarized in Table 1.

Concurrent Degrees: A concurrent degree at HPU is a program of study that includes approved combinations of requirements from multiple programs.

Concurrent Undergraduate Degrees - Double Majors: A single baccalaureate degree awarded for completion of two different programs of study within the same degree.

Concurrent Undergraduate Degrees - Double Degrees: Two different baccalaureate degrees that are completed simultaneously.

Concurrent Graduate Degrees: A single graduate degree awarded for completion of requirements derived from specific combinations of graduate programs (http://www.hpu.edu/grad/academics/joint_programs.html).
Concurrent Undergraduate Degree and Graduate Certificate: A graduate certificate participating in HPU's Concurrent Program that is obtained using a limited number of select courses which also counted towards the completion of an undergraduate degree (http://www.hpu.edu/grad/academics/concurrent_programs/cert_national_security_and_strategic_studies.html).

Concurrent Undergraduate and Graduate Degrees: Degrees awarded in those programs at HPU which allow students to complete limited graduate coursework within a participating graduate program before earning an undergraduate degree (http://www.hpu.edu/grad/academics/concurrent_programs/index.html).

Dual Degrees: A dual degree is defined as a program of study offered collaboratively by HPU and another higher education institution, which leads to the award of a separate degree from each of the participating institutions.

Double Degrees: see *Concurrent Undergraduate Degrees: Double Degrees*

Double Majors: see *Concurrent Undergraduate Degrees: Double Majors*

Joint Degrees: A joint degree program is one in which the program is offered collaboratively between HPU and one or more other higher education institutions, which leads to the award of a single degree issued jointly by HPU and the other participating institution(s).

Second Baccalaureate Degree: A second baccalaureate degree is a baccalaureate degree awarded to someone who fulfilled the degree requirements while already holding a baccalaureate degree.

Second Masters Degree: A second masters degree is a masters degree awarded to someone who fulfilled the degree requirements while already holding a masters degree.

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Table 1: Degrees involving more than one major or institution

Name	Number of Institutions	Number of Degrees Awarded	Summary	Example
Concurrent Undergraduate Degrees: Double Majors	One (HPU)	One	A single baccalaureate degree is awarded for completion of two different programs of study within the same degree.	BS. Degree with majors in Chemistry and Marine Science
Concurrent Undergraduate Degrees: Double Degrees	One (HPU)	Two	Two different baccalaureate degrees are completed simultaneously.	BS degree majoring in environmental science and a BA degree majoring in journalism
Concurrent Graduate Degrees	One (HPU)	One	A masters degree is awarded for completion of requirements derived from specific combinations of graduate programs.	MBA and MAGLSD
Concurrent Undergraduate and Graduate Degrees	One (HPU)	Two	Degrees awarded in those programs at HPU which allow students to complete limited graduate coursework within a participating graduate program before earning an undergraduate degree.	BS and MAGLSD
Concurrent Undergraduate Degree and Graduate Certificate	One (HPU)	One	A limited number of select courses can be counted towards both the completion of an undergraduate degree and a participating graduate certificate.	BA and Certificate in National Security and Strategic Studies
Dual Degree	Two (HPU + affiliated institution)	Two	Two different degrees from two different institutions are awarded as part of a collaborative program of study.	3-2 Engineering Program
Joint Degree	Two or more (HPU + affiliated institution(s))	One	A collaborative program of study that results in a single degree from HPU and the other participating institution.	
Second Baccalaureate Degree	One (HPU)	One	A second baccalaureate degree is a baccalaureate degree awarded to someone who fulfilled the degree requirements while already holding another baccalaureate degree.	Bachelor in Education degree awarded to a student already having a BS degree.

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Name	Number of Institutions	Number of Degrees Awarded	Summary	Example
Second Masters Degree	One (HPU)	One	A second masters degree is a masters degree awarded to someone who fulfilled the degree requirements while already holding a masters degree.	MSMS degree awarded to a student already having an MBA degree.

4.5.2 Degree-Level Approval Policy

Proposals for new academic programs leading to a new degree must go through a series of review and approval processes before the new program can be implemented. The proposal for a new program must contain, at a minimum, the rationale for the new program, the program objectives, methods for assessment of learning, description of resource needs, and a complete program of study as it will appear in the HPU catalog. In addition the proposal must show alignment with the college and university strategic plans. Additional reviews and approval may be required by external university and professional accreditation organizations, such as WASC (Western Association of Schools and Colleges).

Any requests for new programs or degree level approvals including distance education must be routed through HPU's Accreditation Liaison Officer (ALO), and follow WASC substantive change policies and procedures (see WASC Substantive Change Manual found on the WASC website at www.wascsenior.org).

As of July 1, 2013 HPU has been granted General modality approval for distance education (DE) programs. Distance education is defined as a program that is offered via the internet, one-way or two-way transmissions or by audio conferencing for 50% or more of the program. The General modality approval for DE programs means that WASC will no longer require a substantive change approval for new distance education programs. However, this exemption does not override HPU's requirement to seek prior approval for new distance education programs at "Specified" or "Individual" degree levels. WASC's degree level approval policy can be found at http://wascsenior.org/files/Degree_Level_Approval_policy.pdf.

Procedures:
The required forms and additional guidance are available from the "Assembly" tab in campus pipeline.

Undergraduate Degree Proposal-New Program College Level

1) Faculty member(s) initiating proposal should contact the department/program/college curriculum chair to inquire about specific department/program/college requirements for submission of proposal materials.

2) Faculty member(s), with the aid of department/college curriculum chair, prepare the following proposal materials:
   a. Record of Curriculum Action and Review (RCAR)- New program proposal form.
   b. Any additional documents required by program/department/college.

3) The completed proposal materials are sent to the college curriculum chair. *A copy of the proposal materials is also sent to the department chair.*

4) The college curriculum chair reviews and further prepares the proposal materials and RCAR. The RCAR is updated as necessary to reflect discussions and revisions at the department or college level. On approval, the college curriculum chair requests the initiator(s) of the proposal to provide any revisions, updates, or additions required, as documented in the RCAR. The college curriculum chair certifies that these changes have been made before submitting the proposal to the Undergraduate Curriculum Committee (UCC).

5) The college curriculum chair transmits the following materials:
   1. *To the chair of the UCC:*
      a. Electronic copy in MS Word (via e-mail) of the RCAR-new program proposal form, and any additional documents.
      b. A copy of the program or department faculty signature sheet.

   2. *To the Faculty Assembly Office Administrative Coordinator*
      a. Electronic copy in MS Word (via e-mail or on disk) of the RCAR-new program proposal form, and any additional documents.
      b. The original program or department faculty signature sheet with signatures representing a majority of full-time faculty members.

Note: These materials must be received by the UCC chair at least ten days prior to the next scheduled meeting in order to be placed on the agenda. The UCC will accept only complete packets of curriculum materials.

Undergraduate Curriculum Committee Level

1) The UCC reviews the proposal materials. All proposals will have two readings; however, the UCC may wave the second reading when deemed appropriate. At each reading, the recommended and required changes, updates, and revisions are noted in the minutes by the secretary and the RCAR is updated by the UCC chair, who then notifies the college representative, college curriculum chair, and proposer(s) of recommended and required changes, additions or deletions. The author(s) and other interested faculty are encouraged to attend UCC meetings to answer questions and participate in the discussion regarding the proposal. If the author(s) is not present then the UCC representative from the

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college generating the proposal will advocate for the proposal. The proposal is reviewed according to UCC criteria for new programs (see RCAR-New Program Proposal Form).

2) On completion of the UCC review and approval process, any revisions to the proposal form, syllabus, or additional documentation must be provided by the faculty member(s) initiating the proposal. *It is the responsibility of the UCC college representative to make sure these revisions are completed, and to transmit copies of the ratified version of the proposal to the college dean.* Once revisions have been completed one original copy of all revised materials is sent to the UCC chair. The UCC chair, in coordination with the UCC secretary, certifies that all revisions have been made and then provides the following packet of materials to the Faculty Assembly Administrative Coordinator:

1. Electronic copies of updated RCAR, updated proposal form, and any additional documentation.
2. Affirms that the original faculty signature sheet for the RCAR was filed with the Faculty Assembly Administrative Coordinator.

If the proposal is not approved by the UCC, the UCC chair prepares a written memorandum explaining the rationale for non-approval. This memo, and a copy of the updated RCAR, is transmitted to the college faculty member(s) and dean by the UCC divisional representative.

Faculty Assembly Office Level

1) On notification of a proposal's approval by the UCC, the divisional curriculum chair prepares an Academic Data Base Change form (ADCF), e-mails it to the UCC chair, and CCs the Faculty Assembly Office.

2) The Faculty Assembly Office receives the completed packet of curriculum materials, including the ADCF, from the UCC chair. The Faculty Assembly Administrative Coordinator obtains the signature of the program/department curriculum chair, the college dean, the UCC chair, and the Faculty Council chair to certify the curriculum process.

3) The Faculty Assembly Administrative Coordinator transmits the completed packet of curriculum materials and the ADCF to the Provost/Vice President for Academic Affairs for signature.

4) The Faculty Assembly Administrative Coordinator transmits the completed packet of curriculum materials and the ADCF with all signatures to the office of the Associate Vice President for Academic Administration for input in to the academic database.

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5) The Faculty Assembly Administrative Coordinator notifies the appropriate individuals (initiator, dean, academic advising, etc) that the proposal has been approved and sent to the office of the Associate Vice President for Academic Administration.

Office of Academic Affairs Level

1) All new programs must be reviewed by the HPU WASC ALO to determine whether the program must undergo a substantive change process. The ALO is HPU's conduit to WASC, and faculty members are not to contact WASC directly; but go through the ALO.

2) Once the program is approved the office of the Associate Vice President for Academic Administration ensures that the updated curriculum information is provided to appropriate university offices, and that changes are made to the academic database, HPU website and catalog.

Graduate Degree Proposal – New Program College Level

1) Faculty member(s) initiating proposal should contact the department/program/college curriculum chair to inquire about specific department/program/college requirements for submission of proposal materials.
2) Faculty member(s), with the aid of department/college curriculum chair, prepare the following proposal materials:
   a. Graduate program proposal form
   b. Any additional documents required by program/department/college.

3) The completed proposal materials are sent to the college curriculum chair. A copy of the proposal materials is also sent to the department chair.

4) The college curriculum chair reviews and further prepares the proposal materials. The proposal is updated as necessary to reflect discussions and revisions at the department or college level. On approval, the college curriculum chair requests the initiator(s) of the proposal to provide any revisions, updates, or additions required, as documented in the program proposal. The college curriculum chair certifies that these changes have been made before submitting the proposal to the Graduate Curriculum Committee (GCC).

5) The college curriculum chair transmits the following materials:
   a. To the chair of the GCC:
      i. Electronic copy in MS Word (via e-mail) program proposal form.
      ii. A copy of the program or department faculty signature sheet.

   b. To the Faculty Assembly Office Administrative Coordinator

i. Hard copy of the program proposal form, and any additional documents.
ii. Electronic copy in MS Word (via e-mail or on disk) of the program proposal form, and any additional documents.
iii. The original program or department faculty signature sheet with signatures representing a majority of full-time faculty members.

Note: These materials must be received by the GCC chair at least ten days prior to the next scheduled meeting in order to be placed on the agenda. The GCC will accept only complete packets of curriculum materials.

Graduate Curriculum Committee Level

1) The GCC reviews the proposal materials. All proposals will have two readings; however, the GCC may wave the second reading when deemed appropriate. At each reading, the recommended and required changes, updates, and revisions are noted in the minutes by the secretary and the proposal is updated by the faculty member(s) initiating the proposal. The author(s) and other interested faculty are encouraged to attend GCC meetings to answer questions and participate in the discussion regarding the proposal. If the author(s) is not present then the GCC representative from the college generating the proposal will advocate for the proposal. The proposal is reviewed according to GCC criteria for new programs (see Graduate Program Proposal Form).

2) On completion of the GCC review and approval process, any revisions to the proposal form or additional documentation must be provided by the faculty member(s) initiating the proposal. It is the responsibility of the GCC college representative to make sure these revisions are completed, and to transmit copies of the ratified version of the proposal to the college dean.

Once revisions have been completed, one original copy of all revised materials is sent to the GCC chair. The GCC chair certifies that all revisions have been made and then instructs the initiator to forward the following packet of materials to the Faculty Assembly Administrative Coordinator:

1. Electronic copies of the updated proposal form and any additional documentation.
2. Affirms that the original faculty signature sheet was filed with the Faculty Assembly
   Administrative Coordinator.

Faculty Assembly Office Level

1. On notification of a proposal's approval by the GCC, the divisional curriculum chair prepares an Academic Data Base Change form (ADCF), e-mails it to the Faculty Assembly Office, and CCs the GCC chair.

2. The Faculty Assembly Office receives the completed packet of curriculum materials, including the ADCF, from the program or college chair. The Faculty

Assembly Administrative Coordinator obtains the signature of the program/department curriculum chair, the college dean, the GCC chair, and the Faculty Council chair to certify the curriculum process.

3. The Faculty Assembly Administrative Coordinator transmits the completed packet of curriculum materials and the ADCF to the Provost/Vice President for Academic Affairs for signature.

4. The Faculty Assembly Administrative Coordinator transmits the completed packet of curriculum materials and the ADCF with all signatures to the office of the Associate Vice President for Academic Administration for input in to the academic database.

5. The office of the Associate Vice President for Academic Administration ensures that the updated curriculum information is provided to appropriate university offices, and that changes are made to the academic database, HPU website and catalog.

6. The Faculty Assembly Administrative Coordinator notifies the appropriate individuals (initiator, dean, academic advising, etc) that the proposal has been approved and sent to the office of the Associate Vice President for Academic Administration.

Office of Academic Affairs Level

1) All new programs must be reviewed by the HPU WASC ALO to determine whether the program must undergo a substantive change process. The ALO is HPU's conduit to WASC, and faculty members are not to contact WASC directly; but go through the ALO.

1) 2) Once the program is approved the office of the Associate Vice President for Academic Administration ensures that the updated curriculum information is provided to appropriate university offices, and that changes are made to the academic database, HPU website and catalog.

4.5.3 Dual Degree Policy

Policy:

A dual degree is defined as a program of study offered collaboratively by HPU and another higher education institution which leads to the award of a separate degree from each of the participating institutions. For example, a baccalaureate degree is achieved at HPU and a second baccalaureate degree or higher is achieved by completing predetermined courses in a shared structure with another University's accredited program. All regular degree requirements must be satisfied for eligibility of awarding the degree from HPU. A dual degree is not a program of

study or double major in which two entities (e.g., schools, colleges, departments) within HPU offer two distinct degrees that share some course requirements.

Only dual degree programs will be offered by HPU with institutional partners who are a WASC/ACSCU-accredited institution, a regionally accredited institution, an institution with national or specialized accreditation that is recognized by the United States Department of Education (USDOE), or an educational institution in another country. Dual degrees with unaccredited entities in the US will not be offered.

All HPU dual degree programs will have a detailed agreement with the partnering institution that fully describes all aspects of the relationship. If HPU's partnering institution is not accredited by WASC/ACSCU but is accredited by another agency recognized by the USDOE or is an educational institution in another country, the agreement will assure that HPU has sufficient authority over the program in keeping with sound educational practices and the Standards of Accreditation. HPU will ensure that foreign partners are appropriately licensed, approved or otherwise recognized by an appropriate governmental or government-approved entity in the country where the coursework is being offered. In advance of program implementation, careful investigation will be completed by appropriate HPU delegates to assure the quality of the foreign institutions offerings and the integrity of their operations.

In all HPU dual degree programs, at least half of the credits counted towards the awarded degree must be earned in courses offered by HPU and be taught by HPU faculty. The course work at the two involved institutions will conform to the expectation that it is substantially different from the other institutions earned credits, it is sufficiently extensive and unique in design, and it exceeds the amount of academic work typically required for one of the single degrees achieved. Furthermore, no more than 25 percent of the credits being offered at the upper-division level of undergraduate degrees or at the graduate level may be double-counted or overlap. Both institutions offering the dual degrees must have clearly articulated policies and standards on the transfer of credits for dual degrees with the maximum being no more than the credit hours cited in this policy.

All dual degree program postings at HPU will conform fully with the WASC requirements to disclose the accredited status of the institutions offering the dual degrees. Clarity will be consistently provided in all postings and written documents so that students understand if a partnering agency is not accredited by WASC/ACSCU. The following disclaimers must be used: *"[Name of member institution] is accredited by the Accrediting Commission on Senior Colleges and Universities of the Western Association of Schools and Colleges. [Name of partnering entity or institution] is [accredited or approved] by [the name of the agency]."* In addition, HPU documents will be clear that the award of two degrees by the partnering institutions does not represent two completely distinct courses of study (e.g., there may be some sharing of coursework between the two degrees). Documentation will occur on HPU's permanent student records, including transcripts and diplomas, indicating that the program in which the student was enrolled is a dual degree program. Student transcripts will indicate which courses were completed at the partnering institution.

Procedures

Proposing dual degree programs:
Departments wishing to propose dual degree programs must assure that the design and operational procedures conform to WASC/ACSCU Standards of Accreditation and relevant policies. To ensure the integrity of operations and quality of programs and courses leading to degrees each department offering a dual degree must have a clear written plan to offer, monitor and assess their programs. They must have also entered into a clear written agreement with the partnering institutions. The written agreement must address, as appropriate, the following:

- The program is consistent with the institution's mission and educational objectives as defined by the WASC Criteria for Review (CFRs)
- The primary purpose of the degree program is educational (CFR 1.2)
- The degree awarded represents a coherent course of study that is in keeping with the quality of other degree programs offered by the WASC/ACSCU accredited institution (Standard 2 and CFRs 2.1, 2.2)
- Sound practices are employed for the award of credit (CFR 2.2 and Credit Hour Policy and Transfer of Credit Policy)
- The program is approved by the faculty and administration of the institution in keeping with its usual decision-making processes (CFRs 3.6-3.10)
- The program is designed and operated in keeping with all relevant WASC Standards and policies. In particular, HPU will take responsibility for the following aspects of the program:
    - Truthful representations about the program (CFR 1.6; also see Public Disclosure Requirements below)
    - Offerings that allow students to complete the program in a timely fashion (CFR 1.6)
    - Appropriate practices in the recruitment of students (CFR 1.6 and relevant federal policies)
    - Sound business operations and record keeping (CFR 1.7)
    - Appropriate program level, content, and standards (CFRs 2.1, 2.2)
    - Adoption of student learning outcomes, expectations for student achievement, and means to assess student achievement (CFRs 2.3-2.7, 4.5-4.7)
    - Application of institutional quality assurance processes, including program review (CFRs 2.7, 4.4)
    - Appropriate analysis of student needs, satisfaction, and success (CFR 2.10)
    - Advising and other services to support student success (CFRs 2.12-2.14)
    - Admission of students in keeping with the program level (CFRs 2.2, 2.12)
    - Sufficient and qualified faculty and staff (CFRs 2.1, 3.1, 3.2)
    - Information resources, technology and facilities appropriate to the program (CFR 3.5)
    - Teach-out plans that protect the students (Policy on Teach-out Plans and Agreements)
    - Sound planning and budgeting (CFRs 3.4, 4.6-4.7)

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As with all university academic programs, the University wide program approval process will be used to approve the dual degrees. The degree-level approval policy should also be reviewed when implementing dual degrees.

Student enrollment in dual degree programs

Students may apply for a dual degree programs either at the initial admissions stage or after enrolling. However, they must gain separate and independent admission to both institutions by meeting the institutions entrance requirements and following the admission procedures. Certain prerequisites, academic achievement standards, or experiences may be required by the departments or institution before enrolling in a joint degree program. These requirements are identified in the published materials about the degree option.

Examples of variable standards are:

- If High School prerequisite requirements for student entry exist, they must be established and published.
- Higher GPA requirements than those needed for general university admission.
- Students may transfer in a small number of college credits from other universities but they must have been completed in a timely manner that demonstrates that the student is ready for upper division course work.

A Dual Degree Course Planning Worksheet is initiated by the sponsoring department with the student and is regularly updated for each enrolled student. Retention in the designated dual degree program is contingent on the student's ongoing successful completion of their plan of study.

Students who wish to enter a dual degree program while already in a degree program must do so in writing and prior to entering the capstone series or course. When the student remains registered in a dual degree program they must satisfy the curriculum requirements for each degree before either degree is awarded. The dual degree program is not open to students who have already earned one of the degrees.

3.5.4 Joint Degree Policy

Policy:
A joint degree program is one in which a program is offered collaboratively by HPU and another institution of higher education that leads to the award of a single degree issued jointly by participating institutions. Joint degrees with shared course work in the same discipline exist in both HPU undergraduate and graduate programs.

For example, a nursing degree is achieved at HPU in conjunction with a partnering institution's accredited program by completing predetermined courses in a shared structure. Both award the Bachelor of Science in Nursing degree. All regular degree requirements must be satisfied for

eligibility of awarding the degree from HPU. A joint degree is not a double major in which two entities (e.g., schools, colleges, departments) within HPU offer two distinct degrees that share some course requirements.

Only joint degree programs will be offered by HPU with institutional partners who are a WASC/ACSCU-accredited institution, a regionally accredited institution, an institution with national or specialized accreditation that is recognized by the United States Department of Education (USDOE), or an educational institution in another country. Joint degrees with unaccredited entities in the US will not be offered.

All HPU joint degree programs will have a detailed agreement with the partnering institution that fully describes all aspects of the relationship. If HPU's partnering institution is not accredited by WASC/ACSCU but is accredited by another agency recognized by the USDOE or is an educational institution in another country, the agreement will assure that HPU has sufficient authority over the program in keeping with sound educational practices and the Standards of Accreditation. HPU will ensure that foreign partners are appropriately licensed, approved or otherwise recognized by an appropriate governmental or government-approved entity in the country where the coursework is being offered. In advance of program implementation, careful investigation will be completed by appropriate HPU delegates to assure the quality of the foreign institutions offerings and the integrity of their operations.

In all HPU joint degree programs, at least half of the credits counted towards the awarded degree must be earned in courses offered by HPU and be taught by HPU faculty. The course work at the two involved institutions will conform to the expectation that it is substantially different from the other institutions' earned credits, it is sufficiently extensive and unique in design, and it conforms to the amount of academic work typically required for the single degree achieved.

All joint degree program postings at HPU will conform to the WASC requirements to disclose the accreditation status of the institutions offering the dual degrees. Clarity will be consistently provided in all postings and written documents so that students understand if a partnering agency is not accredited by WASC/ACSCU. The following disclaimers must be used: *"[Name of member institution] is accredited by the Accrediting Commission on Senior Colleges and Universities of the Western Association of Schools and Colleges. [Name of partnering entity or institution] is [accredited or approved] by [the name of the agency]."* In addition, HPU documents will be clear that the award of the degree by the partnering institutions represent credits transferred from the partner institution. Documentation will occur on HPU's permanent student records, including transcripts and diplomas, indicating that the program in which the student was enrolled is a joint degree program. Student transcripts will indicate which courses were completed at the partnering institution.

Procedures

Proposing Joint Degree Programs:
All joint degree programs will have clear written plans to offer, monitor and assess these programs Departments wishing to propose joint degree programs must assure that the design and operational procedures conform to WASC/ACSCU Standards of Accreditation and relevant

policies. To ensure the integrity of operations and quality of programs and courses leading to degrees each department offering a dual degree must have a clear written plan to offer, monitor and assess their programs and to enter into clear written agreement with partnering institutions, which address, as appropriate, the matters below.

- The program is consistent with the institution's mission and educational objectives as defined by the WASC Criteria for Review (CFRs)
- The primary purpose of the degree program is educational (CFR 1.2)
- The degree awarded represents a coherent course of study that is in keeping with the quality of other degree programs offered by the WASC/ACSCU accredited institution (Standard 2 and CFRs 2.1, 2.2)
- Sound practices are employed for the award of credit (CFR 2.2 and Credit Hour Policy and Transfer Credit Policy)
- The program is approved by the faculty and administration of the institution in keeping with its usual decision-making processes (CFRs 3.6-3.10)
- The program is designed and operated in keeping with all relevant WASC Standards and policies. In particular, HPU will take responsibility for the following aspects of the program:
    - Truthful representations about the program (CFR 1.6; also see Public Disclosure Requirements below)
    - Offerings that allow students to complete the program in a timely fashion (CFR 1.6)
    - Appropriate practices in the recruitment of students (CFR 1.6 and relevant federal policies)
    - Sound business operations and record keeping (CFR 1.7)
    - Appropriate program level, content, and standards (CFRs 2.1, 2.2)
    - Adoption of student learning outcomes, expectations for student achievement, and means to assess student achievement (CFRs 2.3-2.7, 4.5-4.7)
    - Application of institutional quality assurance processes, including program review (CFRs 2.7, 4.4)
    - Appropriate analysis of student needs, satisfaction, and success (CFR 2.10)
    - Advising and other services to support student success (CFRs 2.12-2.14)
    - Admission of students in keeping with the program level (CFRs 2.2, 2.12)
    - Sufficient and qualified faculty and staff (CFRs 2.1, 3.1, 3.2)
    - Information resources, technology and facilities appropriate to the program (CFR 3.5)
    - Teach-out plans that protect the students (Policy on Teach-out Plans and Agreements)
    - Sound planning and budgeting (CFRs 3.4, 4.6-4.7)

As with all university academic programs, the University wide program approval process will be used to approve the joint degrees. Careful attention must be given when changes are made to basic programs of study such that the joint programs which may be affected are addressed. The degree-level approval policy should also be reviewed when implementing dual degrees.

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Student Enrollment in Joint Degree

Students may apply for a joint program either at the initial admissions stage or after enrolling. However, they must gain separate and independent admission to both institutions by meeting the institutions entrance requirements and following the admission procedures. Certain prerequisites, academic achievement standards, or experiences may be required by the departments or institution before enrolling in a joint degree program. These requirements are identified in the published materials about the degree option.

Students who wish to enter a joint degree program while already in a degree program must do so in writing and prior to entering the capstone series or course. Moreover, students must complete the required courses of the joint program before beginning the HPU capstone series. The joint degree program is not open to students who have already earned one of the degrees.

A Joint Degree Course Planning Worksheet is initiated by the sponsoring department with the student and is regularly updated. Retention in the designated joint degree program is contingent on the student's ongoing successful completion of their plan of study.

When the student remains registered in a joint degree program they must satisfy the curriculum requirements before the degree is awarded.

4.5.5 Concurrent Degree Policy

A concurrent degree at HPU is a program of study that includes approved combinations of requirements from multiple programs (see Degree Definitions Policy). The various options are:

Concurrent Undergraduate Degrees - Double Degrees: Two different baccalaureate degrees may be completed simultaneously, with general education requirements earned being applied towards both degrees.

Concurrent Undergraduate Degrees - Double Majors: A single baccalaureate degree is awarded for completion of two different programs of study (double majors) within the same degree. At least half of the required credits taken must be unique to the second major. For example, if one major requires 36 credits, then at least 19 credits must be unique to the second major field of study.

Concurrent Graduate Degrees: A single graduate degree is awarded for completion of requirements derived from specific combinations of graduate programs (http://www.hpu.edu/grad/academics/joint_programs.html). Students may enter a concurrent graduate degree either at the initial admission stage or while pursing one of the degrees. Students who enter the concurrent graduate degree while already enrolled in one of the participating degree programs must do so prior to entering the capstone series of courses. Moreover, students must complete the required courses of the concurrent graduate

degree before beginning the capstone series. The professional paper must be pertinent to both disciplines. Some concurrent graduate degrees have additional requirements.

Concurrent Undergraduate Degree and Graduate Certificate: A student enrolled in HPU's Concurrent Program (see *Concurrent Undergraduate and Graduate Degrees*) can have a limited number of select courses counted towards both the completion of an undergraduate degree and a graduate certificate participating in HPU's Concurrent Program (http://www.hpu.edu/grad/academics/concurrent_programs/cert_national_security_and_strategic_studies.html).

Concurrent Undergraduate and Graduate Degrees: Select graduate programs participate in HPU's Concurrent Program, which allows students to complete limited graduate coursework within a participating graduate program before earning an undergraduate degree (http://www.hpu.edu/grad/academics/concurrent_programs/index.html). The Concurrent Program is only available to current HPU students with a minimum GPA of 3.0 who have completed 90 credits hours (including the current term and any transfer credits). Students who do not meet these requirements may be admitted via a petition signed by: a faculty member; the Program Chair, Department Chair or Director; and the College Dean.

Eligible HPU undergraduates may enroll in designated graduate courses and earn both graduate and undergraduate credit simultaneously for the same course. A maximum of 12 semester hours of credits may be earned concurrently. If a student successfully completes this concurrent coursework with a 3.0 or higher GPA and has their HPU undergraduate degree conferred, the student can continue in the participating HPU graduate program without having to take any further steps. If a student decides not to pursue a graduate program at HPU immediately after graduation, the student has the privilege of entering the participating graduate program within one year from the date of graduation.

Dual Degrees: A dual degree is defined as a program of study offered collaboratively by HPU and another higher education institution, which leads to the award of a separate degree from each of the participating institutions (see Dual Degrees Policy).

Joint Degrees: A joint degree program is one in which the program is offered collaboratively between HPU and one or more other higher education institutions, which leads to the award of a single degree issued jointly by HPU and the other participating institution(s) (see Joint Degrees Policy).

Second Baccalaureate Degree: A second baccalaureate degree is a baccalaureate degree awarded to someone already holding a baccalaureate degree. To earn a second baccalaureate degree at HPU, a student must satisfy the general education requirements or the equivalent and meet the specific program requirements for the second degree. Semester hours earned for the first baccalaureate degree may be counted towards the general education or other specific requirements of the second degree. However, the student must complete a minimum of 30 semester hours of required course work, while in residence at HPU, subsequent to earning the first baccalaureate degree.

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Second Masters Degree: A second masters degree is a masters degree awarded to someone who fulfilled the degree requirements while already holding a masters degree. Students with a graduate degree from HPU may transfer 12 semester hours of core courses into their second masters degree.

Concurrent Degrees Procedures

Students enrolled in concurrent degrees must meet with the appropriate advisor (undergraduate or graduate). The procedures for concurrent degrees that include both undergraduate and graduate components follow:

Concurrent Undergraduate and Graduate Degrees or Certificate:

Admissions

1. The student's eligibility is verified by meeting with an undergraduate advisor. The advisor will fill out and sign the Petition for Concurrent Registration (PCR) with designated undergraduate & graduate concurrent courses. Any courses not on the Concurrent Program list must have an approved General Petition attached to the PCR by the advisor.

2. The student's eligibility is verified by meeting with a graduate advisor. The graduate advisor will review and approve the PCR.

3. Once the PCR is approved, the student completes a graduate program application form and pays any required fees. Neither a transcript from HPU or a letter of reference is required, but an essay may be required depending on the program the student is applying for.

Registration for Concurrent Classes

1. Concurrent course registration is not available online. It must be done in person at the Office of Graduate Admissions.

2. Each semester the student must first meet with an undergraduate advisor to select the designated course and get a PCR filled out and signed. This PCR form must then be viewed and approved by a graduate advisor prior to registration.

4.6 Early Alert Program & Mid-Term Deficiency Program

Early Alert Program

Policy

The *Early Alert Program* is an early intervention tool for undergraduate and graduate students and occurs in week 4 of classes (in a typical 15-week semester). In contrast, the *Mid-Term Deficiency Program* occurs in week 7 of classes (in a typical 15-week semester). These programs

are a team effort by faculty, administrators, advisors, counselors, and student affairs professionals to quickly connect with students who are having academic or personal issues that may present obstacles to their success, and provide them with resources, help them build academic success skills, and support positive student development. Faculty members are vital to the effectiveness of these programs since they are the first to identify any students who need assistance.

Faculty should submit the names of students who are academically struggling or have been absent more than three consecutive class periods to Hawai‘i Pacific University's Early Alert Program.

The Early Alert Program includes all faculty members who are teaching 15-week courses regardless of delivery method (face-to-face, online, hybrid).

For faculty members who are teaching 10-week courses through Military Campus Programs (MCP) please refer to MCP's "Project Intervene" procedures. For more information contact Ralph Gallogly, Assistant Dean for Student Affairs, at rgallogly@hpu.edu or (808) 544-1101.

Procedure

If NONE of your students have been absent more than three consecutive class periods and ALL of your students are currently in good academic standing (C- or above), send an e-mail with your name, course number(s), course section(s), and include "Early Alert Program – all students are in good academic standing and attendance" to: 1) attendance@hpu.edu and 2) cc your department chair(s).

If AT LEAST ONE of your students has never attended (No-Show), has been absent more than three consecutive class periods (or a more than a full week of class), or is experiencing academic difficulties (attendance/tardiness, participation/motivation, quality of work, late/missing assignments, low exam/quiz scores) thus performing below academic standards (D+ or below), please follow steps 1 through 3.

STEP 1:
Log into your HPU Pipeline account, and select "Enter Mid Term Grades" on the main page from the "Quick Links – For Faculty" section. Issue a grade of D+, D, F, or NC as appropriate for your course(s) for students performing below academic standards. Do not submit any grades for students with a C- or above, since no action will be taken and all grades will be removed from the system before mid-term grades are collected.

STEP 2:
For students that have been absent more than three consecutive class periods, assign the appropriate grade in the "Grade" column and indicate the last date of attendance on the "Last Attend Date" column. For students who never attended (No Show), enter the first day of the term.

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STEP 3:
Directly contact the students you have identified and schedule a time to meet to discuss your concerns and provide them with suggestions for improving their academic performance. In collaboration with you working with your students to improve their academic performance in your course, you may also refer them to HPU's student resources which offer free services: Center for Academic Success, Disabilities Resource Office, Counseling & Behavioral Health Services, Academic Advising, Career Services Center, International Student Services, Veteran Center, and the Dean of Students. For information about referrals and resources please see the HPU website "Student Life – Student Services" tab.

After you have identified students that are struggling, the staff from the Academic Advising Centers will immediately e-mail these students and ask them to schedule a meeting with their Academic Advisor. Their Academic Advisor will discuss with the student any academic or personal issues that may present obstacles to their success, design interventions to enhance student learning and academic performance, and help connect students to relevant HPU's student resources. The *Early Alert* notification does not mean that a student will fail and it will not be reflected on an academic transcript. The e-mail notifies the student they have not been doing satisfactory work in a specific course(s) and encourages them to seek out assistance to address any roadblocks to their academic success. In some cases students have forgotten to drop the course and it allows the university to follow up with them.

If you have a Student Attendance Concern Before or After the *Early Alert Program* (which occurs during the 4th week of classes):

If you have a student attendance concern (i.e., a student has missed a week of classes) or if a student notifies you that they are withdrawing from the university contact:

- *Attendance Concern* – Please e-mail attendance@hpu.edu with the student's name, student ID, and last date of attendance (or if never attended enter the first day of the term) to the Office of Student Affairs. They will look up the student's record to verify if they have dropped the course and follow up with the student.

- *Withdrawn from the University* – Please e-mail withdrawn@hpu.edu with the student's name, student ID, last date of attendance (or if never attended enter the first day of the term), and any details to the Office of the Register. They will verify the student has dropped all their classes and withdrawn from the university, then contact the related university offices to assist the student (i.e., assign an academic advisor to follow-up with the student; help them close out their HPU housing contract; receive any tuition reimbursements; notify the Office of Financial Aid). *Please inform the student that they must officially drop all their courses with an advisor or the Registrar's Office to withdraw from the university.*

- During the course of the semester, the University's Veteran's Coordinator as well as the Athletic Department may request attendance/performance reports regarding certain students.

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Mid-Term Deficiency Program

Policy

Hawai‘i Pacific University implements a variety of early intervention programs to improve student success, degree progression, and graduation. The Mid-Term Deficiency Program is for undergraduate and graduate students and occurs in week 7 of classes (in a typical 15-week semester). This program is a team effort by faculty, administrators, advisors, counselors, and student affairs professionals to quickly connect with students who are having academic or personal issues that may present obstacles to their success, and provide them with resources, help them build academic success skills, and support positive student development. Faculty members are vital to the effectiveness of this program since they are the first to identify any students who need assistance.

All faculty members who are teaching 15-week courses regardless of delivery method (face-to-face, online, hybrid).

For faculty members who are teaching 10-week courses through Military Campus Programs (MCP) please refer to MCP's "Project Intervene" procedures. For more information contact the Assistant Dean for Student Affairs, at rgallogly@hpu.edu or (808) 544-1101.

Procedure

If ALL your students are currently in good academic standing (C- or above) and ALL of your students listed on your HPU Pipeline class roster(s) have been attending classes, send an e-mail with your name, course number(s), course section(s), and include "Mid-Term Deficiency Program – all students are in good academic standing and attendance" to: 1) attendance@hpu.edu and 2) cc your department chair(s).

If AT LEAST ONE of your students has never attended (No-Show) or stopped attending your course(s), or is experiencing academic difficulties (attendance/tardiness, participation/motivation, quality of work, late/missing assignments, low exam/quiz scores) thus performing below academic standards (D+ or below), please follow steps 1 through 3.

STEP 1:
Log into your HPU Pipeline account, and select "Enter Mid Term Grades" on the main page from the "Quick Links – For Faculty" section. Issue a grade of D+, D, F, or NC as appropriate for your course(s) for students performing below academic standards (for graduate courses issue a grade of F). Do not submit any grades for students with a C- or above, since no action will be taken.

STEP 2:
For students who stopped attending your course(s), assign the appropriate grade in the "Grade" column and indicate the last date of attendance on the "Last Attend Date" column. For students who never attended (No Show), enter the first day classes.

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STEP 3:
Directly contact the students you have identified and schedule a time to meet to discuss your concerns and provide them with suggestions for improving their academic performance. In collaboration with you working with your students to improve their academic performance in your course, you may also refer them to HPU's student resources which offer free services: Center for Academic Success, Disabilities Resource Office, Counseling & Behavioral Health Services, Academic Advising, Career Services Center, International Student Services, Veteran Center, and the Dean of Students. For information about referrals and resources please see the HPU website "Student Life – Student Services" tab.

After you have identified students that are struggling, the staff from the Academic Advising Centers will immediately e-mail these students and ask them to schedule a meeting with their Academic Advisor. Their Academic Advisor will discuss with the student any academic or personal issues that may present obstacles to their success, design interventions to enhance student learning and academic performance, and help connect students to relevant HPU's student resources. The Mid-Term Deficiency notification does not mean that a student will fail and it will not be reflected on an academic transcript. The e-mail notifies the student they have not been doing satisfactory work in a specific course(s) and encourages them to seek out assistance to address any roadblocks to their academic success. In some cases students have forgotten to drop the course and it allows the university to follow up with them.

If you have a student attendance concern (i.e., a student has missed a week of classes) or if a student notifies you that they are withdrawing from the university contact:

- *Attendance Concern* – Please e-mail attendance@hpu.edu with the student's name, student ID, and last date of attendance (or if never attended enter the first day of the term) to the Office of Student Affairs. They will look up the student's record to verify if they have dropped the course and follow up with the student.

- *Withdrawn from the University* – Please e-mail withdrawn@hpu.edu with the student's name, student ID, last date of attendance (or if never attended enter the first day of the term), and any details to the Office of the Register. They will verify the student has dropped all their classes and withdrawn from the university, then contact the related university offices to assist the student (i.e., assign an academic advisor to follow-up with the student; help them close out their HPU housing contract; receive any tuition reimbursements; notify the Office of Financial Aid). *Please inform the student that they must officially drop all their courses with an advisor or the Registrar's Office to withdraw from the university.*

- During the course of the semester, the University's Veteran's Coordinator as well as the Athletic Department may request attendance/performance reports regarding certain students.

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4.7 Endowed Faculty Appointment Procedures

On occasion, donations to the University may result in the creation of endowed faculty positions.

The President, in consultation with the Dean of the College in which the Chair is to be located (and consistent with the wishes of the donor), will determine whether the endowed Chair will be awarded to an existing faculty member or to a new faculty member identified through a search process.

If it is determined that the appointment should be awarded through an external search, the Procedures for Initial Appointment of Regular Faculty, found in Chapter IV.D of the Faculty Handbook, will apply.

If it is determined that the appointment should be awarded to an existing faculty member, the name of that faculty member will first be submitted to a vote of all Career faculty within that College. The final decision will rest with the President, after considering the input of the Dean and the Career faculty of the College.

Endowed Chairs are appointed for a renewable term of five years. In the fifth year of the appointment, the faculty member holding the endowed Chair will prepare a report detailing his or her activities since the appointment. The College Committee on Promotion and Review and the College Dean will independently review the report and make recommendations to the President, who will then determine whether the appointment will be renewed for an additional five-year term. Non-renewal of an administrative appointment as an endowed Chair will not affect the faculty member's rank or contract status, and it is not subject to grievance by the faculty member.

4.8 Faculty Course Load Petitioning Policy and Procedure

Policy

The request for a reduced teaching load to allow regular faculty time for enhanced scholarship needs to be a carefully considered option for both the faculty member and the their department. A request is not a pro-forma action and no assurances or assumptions of its acceptance should be made. The change in teaching requirements from a 4-4 standard class load per year to a 4-3 or 3-3 or lower teaching load will clearly increase scholarship expectations but not decrease the expectations for service or for the quality of teaching. The term for which a reduced teaching load can be requested can vary from one semester to three years with possibility of renewal. Regardless of the length of the granted reduction an annual review of progress will be part of the faculty members Professional Development Plan. The request for reduction will be referenced to a detailed plan of scholarship that will be evaluated with regards to scholarly and professional impact but also the probability of achievement of the plan's goals.

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Procedure

The timelines for budgeting, course scheduling and submission of faculty Professional Development Plans come to a nexus in January for activities planned to start in September of the next academic year. Thus decisions on reduced teaching loads need to completed by the preceding December. To promote effective use of faculty time and proper pre-planning the process begins with the submission of a letter of intent with a subsequent submission of a full proposal. By September 15th a letter of intent to request a reduced teaching load is due to the department chair(s). The letter consists of the timeframe, the extent of the reduction and an outline of the proposed scholarship. In addition, to allow the probability of success of the project to be evaluated, the current status of the faculty member's scholarship and any additional information on the resources required or foreseen needs to be included. The department chairs and the Dean of the college will meet collectively to discuss the letters and in conjunction with the probable department and college budget for the upcoming year determine the number number of full proposals to invite. Faculty members will be notified of the status of their letter of intent by October 15th. Faculty invited to submit a full proposal will have until November 15th to submit their proposal.

The full proposal needs to contain enough detail to allow a decision on which faculty member receives a reduced teaching load in a competitive environment. The full proposal will consist of five parts and be less than 5 pages single spaced at 12 point font. A copy of the faculty member current CV and other ancillary attachments (grant proposals, paper draft, letters of cooperation) do not count in the page total.

Full Proposal Instructions; review the Rubric categories that are the basis for evaluation.
Part 1. The Body of the Proposal - 3 pages maximum. The body contains a description of the envisioned scholarship including relationship to current ongoing scholarship, a reference to the faculty member's professional develop plans and relevance to the department's, college's or university strategic goals, and a connection to teaching and student learning is desirable.
Part 2. List of specific assessable outcomes; clearly identify artifacts generated by the scholarship.
Part 3. Create a timeline of achievements or milestones for the scholarship that will allow progress on multi-year projects to be determined.
Part 4. List of resources required for the scholarship, include travel, materials and publication costs. State if the resources are covered by external funding and the status of the funding. If internally funded is the project's achievement contingent on the funding. Standard resources currently available to all faculty need not be included but uncharged but unique resources should be mentioned (for example lab space at HPU or access to specific subjects).
Part 5. Link the specific project above to long term professional development and scholarly achievement goals.

A copy of the faculty member current CV and other ancillary attachments (grant proposals, paper draft, letters of cooperation) do not count in the page total.

The full proposals will be reviewed by the department chairs of a college as a body and a prioritized list will be sent to the Dean for final decision. The department chairs will use a

quantitative rubric and an average score will be sent to the faculty member regardless of the outcome of the decision. The decision of the Dean's on faculty teaching load reductions will be made by January 1st.

Draft Rubric Categories for Evaluation.

1. Scholarly Impact, external to HPU. Importance of the work to the discipline.

2. Impact on professional development of the individual faculty member.

3. Impact on HPU, reputationally, impact on teaching success or does it have a student-centered impact.

4. Is this a buildable achievement? Is the project a part of a multi-year effort leading to ongoing success in one of the three areas above?

5. Probability of success.

4.9 Faculty Development Fund Policies and Procedures

Background

The Faculty Development Policies and Activities Committee (FDPAC) have adopted the following policies, procedures, and criteria for Faculty Development Grants:

Eligibility

Faculty Development Grants are primarily for full-time faculty. All voting members of the Faculty Assembly are eligible; the membership consists of faculty members with career or tenured contracts who have a teaching requirement in their contracts but are not heads of academic schools or colleges, including visiting and affiliate faculty members who otherwise meet the qualifications for membership and emeritus faculty. Faculty Development Grant funds will be awarded only if the faculty member can clearly demonstrate that the scholarly endeavor is related primarily to faculty responsibilities at HPU. Faculty members may submit grant applications to support up to two faculty development---related endeavors (e.g., conferences) each academic year (beginning in the fall). The first endeavor will be considered for up to 100% of the eligible amount, and the second endeavor will be funded up to 80% of the eligible amount. There is a maximum of 2 applications in any one academic year. Faculty members are cautioned that funding for a second endeavor may not be available. Funding for second endeavors can only be determined after awards for all eligible first endeavors are made. For the October 1 deadline, awards may only be granted for endeavors taking place between July 1st and February 28th. For the March 1 deadline, awards may only be granted for endeavors taking place between October 1st and June 30th.

Please note: Request for HPU funding dependent on receiving a Faculty Development Grant for conference travel. If a grant request is not funded, this travel request is null and void and it is understood that the University will not reimburse the travel expenses.

To better understand the application rules:
Example 1: You are planning a trip February 20th. You must submit your application and travel request form signed by your Dean before this date. Please give us a few days so we have time to get the necessary signatures. You will be notified once everything is signed. March 2nd, the committee will meet and you will be notified if funds are available.

Example 2: You are planning a trip June 5th. You must submit your application and travel request form by March 1st. March 2nd the committee will meet and you will be notified if funds are available.

If you are still unsure, please contact the chair of the FDPAC before planning your travel.

Any requests to fund faculty research should be directed to the Colleges' Scholarly Endeavors Program (CSEP). The Administrative Assistant in the Office of Academic Affairs has application materials for the CSEP, which has October 15th and March 15th deadlines. The application is located at: https://campus.hpu.edu/cp/home/displaylogin (Academic Admin tab).

AMOUNT OF FUNDS
A $3,500 cap is placed on grants for domestic travel and a $4,000 cap on grants for international travel. These caps may be less, however, depending on the availability of funds and the amount of funds requested.

Procedure
Approximately one month before the Fall and Spring application deadlines (of October 1st and March 1st, respectively), the Faculty Assembly Office will send out a "Call for Applications" letter to all eligible faculty, including faculty on the satellite campuses. Applications and procedures are also posted on the FDPAC website. A faculty member must include all requested information in the application. Incomplete applications and late applications will NOT be considered.

The Faculty Development Grant subcommittee reviews the grant applications. The list of proposed grant recipients is forwarded to the Associate Vice President of Operations in Academic Affairs, Vice President of Academic Affairs and the President for review and consideration. Once approval is granted, applicants are notified, and the Faculty Assembly Office initiates the check distribution process. Faculty members who received grants must promptly submit receipts for all expenses and return unused funds to the Faculty Assembly Office.

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Prioritizing and Funding Requests:

In evaluating, ranking, and making recommendations for the funding of Faculty Development Grants, applications will be reviewed according to the two tier system noted below.

Tier 1:

- Presentations at international, national, regional, or local conferences. Faculty member's name should appear in a program or similar document for Tier 1 funding.
- Chairing a conference, conference proceeding, symposium, workshop, or similar activity. To qualify for chairing a conference etc., please submit evidence of invitation to review papers, raise questions among the panelists and or moderate discussion with the audience. Only these applications will be considered as a Tier 1, all other Tier 2.

Example: First proposals fitting in Tier 1 will receive full consideration for funding (up to the cap $4,000), and the second Tier 1 applications will be funded up to 80% ($3,200, contingent on available funds, with priority based on ranking. Please note that these amounts may be less depending on the availability of funds and the total amount of funds requested by HPU faculty. Funding for second endeavors can only be determined after awards for all eligible first endeavors are made.

Tier, Endeavor, and Funding Percentages

Ranking	1st endeavor	2nd endeavor
Tier 1 Domestic cap International cap	100% $3,500 $4,000	80% $2,800 $3,200
Tier 2 Domestic cap International cap	80% $2,800 $3,200	64% $2,240 $2,560

The priority for ranking the grant applications is:

Tier 1, 1st endeavor > Tier 2, 1st endeavor > Tier 1, 2nd endeavor > Tier 2, 2nd endeavor

highest priority lowest priority

Policies and Guidelines

For these explanations, the term "endeavor" refers to a particular scholarly pursuit, usually limited to: conference, workshop, seminar, presentation.

A faculty member is expected to balance professional expectations with cost effectiveness and practicality. Expenses that are deemed extravagant will not be reimbursed. In general, a faculty member will received an award for full or partial reimbursement of costs associated with airfare, ground transportation, lodging, meals, and registration fees.

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1. Incomplete applications will not be considered; a faculty member will be asked to submit a complete application during the next funding cycle.

2. A faculty member will only be funded for actual costs that are incurred by the faculty member. For example, if a faculty member's registration fee for an event is paid by another source, the faculty member cannot be funded for the registration fee. Another example is if two faculty members share a room, both faculty members may not claim reimbursement for the full cost of the room.

3. An endeavor must significantly reflect a faculty member's curriculum area; otherwise, sufficient justification is required.

4. Two endeavors that occur back-to-back (that is, there is no return to Hawaii) will be treated as one endeavor, with a cap for one endeavor. The cost for registration or similar fees for the second endeavor may be considered beyond the cap for the one endeavor.

5. For the fall (October 1) cycle, awards may only be granted for endeavors starting July 1st through February 28th. For the spring (March 1) cycle, awards may only be granted for endeavors starting October 1st through June 30th.

6. The only costs awarded on Oahu are for registration fees, meals, and parking associated with a conference, workshop, or similar activity. Transportation, lodging, and airport parking are not awarded for any event on Oahu.

7. A faculty member can be funded for expenses incurred one day before and one day after a scheduled endeavor. A faculty member may be funded for lodging the night before and endeavor beings and the night that the endeavor ends.

8. Travel itineraries with an open-end, stopovers, or additional stay are allowed. However, for any itinerary with extra legs or stopovers, etc., not associated with the endeavor, an itinerary and pricing without the extra legs or stopovers must be submitted. Only airfare expenses associated with round-trip travel for an endeavor are eligible for funding.

9. Funding for rental car or taxi expenses must be justified and receipt provided.

10. For lodging, only room costs, taxes, and unavoidable fees will be funded. A faculty member will not be funded for any voluntary costs such as movie rentals, long distance calling, mini-bar etc.

11. For quotes or receipts in international currency, a printed and relevant currency conversion rate to U.S. dollars must be provided, along with the indicated expenses converted to U.S. dollars.

12. A faculty member will not be funded for tuition payments associated with an endeavor.

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13. A faculty member will not be funded for membership dues for any organization.

14. A faculty member will not be funded for fees for sightseeing excursions.

15. Original receipts are required for all expenditures.
- Original receipts should be taped to an 8.5x11 sheet of paper.
- Receipts should be taped in the order that they were listed on the reimbursement form.
- Receipts should be numbered (1,2,3…) and the number should be circled.
- Receipts will not be returned.

16. An HPU Travel Request Form must be filled out and submitted with your application along with estimates for travel costs ahead of travel. The Travel Request Form is posted on the FDPAC website for your convenience. Applications will not be accepted without the form.

17. Once a decision has been made, you will be notified via mail. If your endeavor is funded, the Travel Request Form must be signed by the following:
    - If your grant application is for less than $500 – your department chair
    - If your grant application is for $500 or over – your department chair AND your dean
    - If your grant application is for $2,500 or over – your department chair, your dean, AND Vice President of Academic Affairs.

    No reimbursements will be provided without an approved Travel Request Form

18. If your endeavor is funded, your expenses can be reimbursed by submitting the Travel Expense Report Form (posted on the FDPAC website). For Oahu travel the Travel Expense Report Form should be replaced with the Business Expense Report Form (BERF). The forms as well as original receipts must be postmarked within 10 days of the end of the endeavor and sent to the address below:

Hawaii Pacific University
Faculty Assembly Office
1164 Bishop Street, Suite 800
Honolulu HI 96813-2784
Phone (808) 544-0848

4.10 Faculty Domicile Policy

In order to meet teaching, service, and other obligations to the university, Regular faculty should normally be resident in the state of Hawai'i for the duration of their yearly contractual period. Out of state residency is not an excuse for failing to meet contractual requirements. Except where required by law the college or department is not required to accommodate special scheduling

needs based on domicile. Exclusions to this policy should only be made in exceptional cases (for example, military service of self or spouse/partner), must be negotiated and specified in the individual faculty contract, and must be approved by the Dean and the Provost. If a Regular faculty member of a department is not a resident, care should be taken to ensure that responsibilities to the department, college and university are shared equitably between resident and non-resident faculty members in that department. All Regular faculty, regardless of residence, will be held to the same standards when being considered for reappointment and promotion. This policy does not apply to faculty members who, in order to conduct approved university business or other approved service, research or teaching obligations, may be domiciled outside of the state of Hawai'i for an extended, although temporary, period (Fulbright and other scholarships and grants, research leaves, etc.).

4.11 Faculty/Student Relationships

The University embraces mutual accountability of faculty and students in a trust based relationship. In recognizing that a respectful working relationship is central to an impactful educational experience, acknowledgement must also be given that the imbalance of power and potential for inequitable social relationships likewise exist.

Policy

Faculty members have the responsibility to consistently maintain high levels of professionalism and use sound judgment in all faculty-student relationships. Faculty members are obligated to avoid any apparent or actual conflict between their professional responsibilities and personal relationships with students.

Close working relationships often exist in mentoring relationships, with student work assistants, with graduate teaching assistants, and when working closely on professional research projects. Faculty need to develop a balance in their ability to nurture students and to also maintain appropriate separateness in their relationships. An inappropriate faculty-student relationship exists when the faculty, consciously or unconsciously, exerts undue influence or pressure on students to act in a way in which the student is taken advantage. Faculty can best address the imbalance of potentially coercive power by role modeling and by mentoring maintenance of professional boundaries in all working and teaching environments.

Faculty members are expected to possess high levels of understanding, knowledge, and personal discipline over the educational environment, which includes emotions that impact student's response to faculty expectations. HPU strongly discourages consensual sexual relationships between faculty and students. Furthermore, consensual sexual relationships between faculty and students are prohibited whenever the faculty member has supervisory, teaching, evaluation, advisory, coaching or counseling responsibilities for the student or will be likely to take on these roles in the future or when a presumptive evaluative relationship in the case of academic administrators exists.

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Faculty should be able to recognize the danger of participating in relations that are dependent upon the imbalance of power over students and should stop potentially inappropriate situations before they start. Examples of cautionary faculty-student relationships where the potential for power imbalance may also occur are listed in no particular order:

- having expectations of students to party with the faculty
- having expectations of servitude
- having the student assist with work projects/pet care/child care in the faculty's home
- expecting students to work in alternate/none traditional environments

This resource provides additional guidance for understanding power relationships: http://www.facultyfocus.com/articles/teaching-and-learning/different-sources-of-power-that-affect-the-teacher-student-relationship/

4.11.1 Amorous Relationships with Students

The policy on amorous relationships with students is addressed in the Faculty Handbook, Chapter 4d: Discrimination and Harassment and by the Athletic Department, HPU Athletic Policies Handbook, Amorous Relationship Policy. The NCAA provides additional guidance in best practices related to coach-player relationships in a booklet entitled *Staying In Bounds: An NCAA Model Policy to Prevent Inappropriate Relationships Between Student-Athletes and Athletics Department Personnel* http://www.nacwaa.org/sites/default/files/images/Staying%20in%20Bounds.pdf Disciplinary action will be taken against faculty who violate the faculty-student relationship policy. Policy violations are considered misconduct and are subject to university sanctions up to and including dismissal.

Procedures

Policy violations require disclosure by individuals with knowledge of the potentially inappropriate or prohibited faculty-student relationship. Should such a policy violation exist, then all faculty members involved are required to disclose the existence of the policy violation to his or her supervisor, and to Human Resources. The supervisor also has the responsibility to disclose knowledge of this information to Human Resources.

The Human Resources Department's response to allegations of faculty misconduct will be thorough, competent, fair, objective, and timely. All reasonable and practical steps will be taken to maintain confidentiality of the complaint from non-involved parties during the investigation. Appropriate disciplinary action will be taken against an offender. Conflict resolution may be offered as a means of mediating a complaint where a clear violation is not revealed.

Procedures for student reporting of concern for violation or actual policy violation are described in the Student Handbook, Student Complaint Procedure. Please see the Faculty Handbook on disciplinary actions and grievance processes (chapter 4, I) for more information.

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4.12 Field Trips

When arranging a field trip, a faculty member must ensure that each student signs a liability release form prior to going on the trip. If required, van transportation by the University can be provided with advance notice; however, the instructor may need to make arrangements for an approved driver(s). The instructor should inform that dean of the nature of the trip and leave a copy of the course roster attached to the liability release forms with the administrative assistant.

4.13 Golden Apple Award

The description of the procedure for the Golden Apple Award can be found on the CAIT website at (http://cait.hpu.edu/faculty-area/grants-ad-awards/).

4.14 Grade Distribution

The college deans, department chairs and faculty are all responsible for maintaining the academic integrity and professionalism of the programs offered by the academic disciplines within their colleges. Students have a right to be treated with respect by faculty and staff, to expect clear guidance as to course requirements and expectations, and to receive grades that appropriately reflect their mastery of course learning objectives. When any or all of these standards are not met, it is the dean's responsibility to work with the relevant faculty member(s) and department chair(s) to ensure that these important student rights are protected.

4.15 Graduation

The University conducts two commencement ceremonies: Spring Commencement (May) and Winter Commencement (December). Three valedictory speakers are selected for each commencement, representing the on-campus programs, the Military Campus Programs, and the graduate programs.

The symbolism and tradition of commencement have great significance to the University and the graduating students. Faculty with regular status are expected to attend the ceremonies. Faculty members seated on stage are expected to wear academic regalia with hood from the institution at which their last degree was earned and to march in the processional. Early in each term (Spring and Fall) faculty members are provided with graduation details and are asked to signify their intent to attend by completing a reply card. At the same time, the dates and times for cap and gown sales are made available, and faculty who do not have academic regalia may, on those specific dates, purchase or rent either caps and gowns or custom-fitted academic regalia.

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4.15.1 Dean's List

Policy

At the end of the Fall and Spring semesters, full-time undergraduate students (12 or more earned semester hours of credit) who have earned term GPAs of 3.5 or better for the semester just completed are recognized by being placed on the Dean's List by the Vice President of Academic Administration. Students in accelerated terms are evaluated after each appropriate six-month period (January to June and July to December). This honor becomes a permanent part of the student's academic record and is printed on the transcript.

The college programs requiring practicums or clinical courses in their major, who determine success by a designation of pass/fail credit for those courses, may use the following amended calculation to determine student Dean's list designation:

- Students must achieve 12 or more earned semester hours of credit for the semester.
- A minimum of 6 of the 12 credits must receive a grade designation, however, all of the student's graded credits for the semester will be used to determine the semester GPA.
- Students must pass the course designated as pass/fail.
- Pass/Fail determinations are not defined as graded credits. The number of pass/fail course credits will not be added in the calculation that determines the semester GPA.

Procedures

The Dean's list determination is made by the Registrar's Office on behalf of the Vice President of Academic Affairs. The Registrar's office will provide a preliminary list of students with potential Dean's list designation to colleges offering pass/fail practicums or clinical courses as part of those required for the major. The individual colleges with the pass/fail designations will be required to manually review their student GPA each semester. Following a college level review the students determined potentially eligible for the Dean's List will be submitted to allow a final designation by the Registrar's Office.

4.15.2 Honors at Graduation

Policy

Honors are based upon the Honors Point Average (HPA). The honors grade point average is based upon the student's entire academic history. This includes grades for all coursework taken at all institutions of higher learning, including repeated courses.

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The Commencement Program is printed prior to the calculation of final grades. As a result, grades for the final semester and/or term will not be included in the honors calculation for the program. Students qualifying for honors at the time of the ceremony have the appropriate honors indicated in the program and are presented with an honors sash at the ceremony.

Honors, as defined below, are based upon all completed courses and grades. Final graduation status including the awarding of degrees and honors is determined and certified by the University Registrar as posted to the official academic transcript, six to eight weeks after the end of the term.

Honors are awarded based upon the following criteria:

Associate Degree
Students completing an associate degree may graduate with the designation "With Honors" by completing at least 24 credit hours of coursework at the University and having a minimum grade point average (GPA) of 3.4 for HPU courses and a minimum honors point average (HPA) of 3.4.

Baccalaureate Degree
Undergraduate students in a baccalaureate degree program may graduate with "Latin Honors" if they have completed at least 45 credit hours of coursework at the University. They must have earned a minimum grade point average (GPA) of 3.4 for HPU courses and have achieved the requisite honors point average (HPA) requirements. The corresponding honors designation for the baccalaureate degrees are as follows:

3.4 – 3.69 Cum Laude
3.7 – 3.89 Magna Cum Laude
3.9 – 4.00 Summa Cum Laude

Graduate Degree
Students in a graduate degree program at the University may graduate with the designation "With Distinction" by attaining a minimum grade point average (GPA) of 3.7 as follows:

- Completion of at least 24 credit hours of coursework at the University toward the MSIS, MSN, or MA, or 27 credit hours toward the MBA, or all semester hours for MATESL, or 39 credit hours for a joint degree program.
- A minimum honors point average (HPA) of at least 3.7 for all graduate coursework completed at any college or university.

Procedure

Honors designations are determined automatically each semester by the Registrar's office and require no action on the part of the student. However, if a student has a disagreement with his/her awarded honors designation, he/she can contact the Registrar's Office. The office is located at 1164 Bishop Street, Suite 216 (UB building), in the downtown campus

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during its normal work hours, Monday – Friday, 8:00 a.m. – 5:00 p.m. or by calling 808-544-0239 or e-mailing registrar@hpu.edu.

4.15.3 Valedictory Speaker(s)

4.15.4 Granting of Posthumous Degrees

Policy

The University may grant only undergraduate, graduate, and professional degrees posthumously. If a College determines that a deceased student was in good standing and had completed enough credits towards a degree, the Vice President of OAA has the authority to grant the degree posthumously, on the recommendation of the dean of the college and in the case of graduate or professional degree students also the Assistant Vice President for Graduate Studies, and then approval by the VP of OAA.

Requirements

- Undergraduate students should have entered their senior year.
- Graduate students should have completed enough work toward the thesis or dissertation, if required for the degree, for there to be a draft that the thesis/dissertation committee can review.
- Other graduate and professional degree candidates should have substantially completed requirements.
- The request should give in writing the rationale for awarding the degree posthumously, and it must indicate the Dean's approval on behalf of the faculty in the student's major department that any remaining credits required for the degree are waived.

Procedure

- The student's academic department initiates the request; the OAA Office will notify the student's department that the department has authority to initiate the certification process for the posthumous degree.
- The recommendation goes to the dean of the college and in the case of graduate or professional degree students then to the VP of OAA for approval. If the provost grants approval, the Dean of the student's college and the registrar will be notified of the decision.
- If the posthumous degree has been approved, the Office of the Registrar will mail the diploma to the family member, or, if desired, give it to the dean or other appropriate University official(s) for presentation in a private gathering as a special gesture to the family; or a family member may choose to receive the diploma on the student's behalf at the commencement ceremony.
- Upon the request of the dean, the Office of the Registrar will make a special effort to get the diploma early.

- The degree will be posted on the student's permanent record as follows (example):

B.A. BACHELOR OF ARTS
MAJOR: ENVIRONMENTAL STUDIES
DEGREE CONFERRED POSTHUMOUSLY

4.15.5 Teacher of the Year Award

POLICY

The Trustee's Award for Teaching Excellence (aka the Teacher of the Year Award) is presented to an outstanding Regular faculty member nominated by one or more graduating seniors. The student nomination form asks: "Who was your most outstanding teacher?" The student provides a recommendation based on the following criteria:

- Communication with students
- Motivating and Inspiring students
- Demonstrating excellence in the classroom
- Demonstrating excellence in course content

PROCEDURE

The Nomination form will be attached to the Petition to Graduate. This form will be linked to the tyaward@hpu.edu and will automatically be sent to that email address upon submission. If the student fails to fill out the form at this point, the form will also be made available to them on the Graduation checklist, available to them on Pipeline. Once the form has been filled out the following will occur:

The Gen Ed Director/Asst. Dean will:

- Forward only the nominations of Regular faculty to a committee which consists of the following:
    - a College Faculty Promotion and Review Committee chair or designee (to be rotated through the Colleges each year)
    - the current Student Body President
    - another student selected by SGA
    - the outgoing Teacher of the Year recipient
    - the Gen Ed Director/Asst. Dean
    - a Regular faculty member
    - a staff representative from OAA
- Select the faculty and staff representatives

- Make copies of nomination for all members

Additional Procedures:

- Over a course of meetings, the Committee will select the top three candidates

- At the last meeting, all members will rank the top three, and vote for 1st, 2nd & 3rd place.
- The winner's name will be submitted to Provost
- The Provost will call the 1st place winner and ask if he/she will accept the award
- If accepted, the 1st place winner will become the Teacher of the Year. The Teacher of the Year is the Grand Marshall for the Winter and Spring commencement, and will receive a monetary award of $1,000.
- **It should be noted that this award should be held confidential until the presentation at Spring commencement.**

4.16 Guests and Children in the Classroom

Policy

The University values its employees and students and recognizes the importance that friends and families fulfill in each of their lives. These guidelines are intended to foster respect for the needs of all parties impacted by the presence of non-enrolled course guests and children in the classroom. The classroom is typically not an appropriate place for guests and children to be present on a frequent or continuing basis.

It is the policy of the University that faculty may not bring guests or children into the classroom unless those visitors are contributing to instruction of the course content. Given the policy, the University also recognizes emergencies occur that may necessitate exceptions. Should an exception by a faculty member be required, their department chair and/or dean must be apprised of the situation and approve the exception in advance of the class.

In general, students are discouraged from bringing guests or children to class. Upon occasion, extenuating circumstances may arise when students in their role as parent/guardian must bring their children with them to campus. Upon such occasions, with the instructor's advance permission, children may be brought into the classroom. Instructors have no expectation to permit guests or children in the classroom. If permitted however, children must remain under the direct supervision of the parent/guardian. Instructors are not obligated to change course content because there are children or guests in the room. The student is accountable for the material for which the child or guest is exposed.

Classroom visitors shall not be permitted to disrupt the learning environment. Parents/guardians failing to supervise their children sufficiently may be asked to remove the child from the premises. Finally, since students as parents are responsible for the behavior of their children on campus they are subject to disciplinary sanctions according to the University's policies on expected conduct for any disruptive or destructive behavior.

An exception to the above policy when guests or children are not permitted in the classroom is when safety factors are present. An example of a high-risk safety area generally includes, but is not limited to, laboratories or specialized work areas that have chemicals, biological

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hazards, radioactive hazards, flammables, explosives, compressed gasses, sharp objects, lasers, hazardous wastes, or other environmental hazards.

Procedures

1. When an instructor determines that an emergency exists that necessitates bringing a guest/child to their class they must contact their department chair and/or dean to seek approval for the exception in advance of the class.
2. Individual instructors may freely grant or deny permission to have a student's guest or child present in their classroom.
3. Department chairs and deans are expected to support the individual instructor's choice about non-students in their classroom.

4.17 Paid Research Leaves

Rationale:

The many roles and responsibilities of faculty members require that periodically a sustained and uninterrupted time be set aside to focus on scholarship, creative work, or other accomplishments related to faculty responsibilities. Moreover, as HPU moves, as part of the strategic plan, to enhance its academic culture, to raise the academic standards of the university and to position itself as one of the premier private institutions in the western region, this need becomes more emergent and necessary. The Faculty Handbook is an instrumental piece in the future repositioning of the university and contains reforms to ensure that the academic quality of its students and its faculty be of the highest caliber. To ensure that the university can meet the increased promise of the planning process and faculty can meet shared academic goals and contractual obligations, however, it is necessary that the faculty receive the resources they require to meet institutional goals. Paid Research Leave for faculty is an essential component to meeting those mutually agreed upon goals.

Scholarship is defined as one of the three key criteria for faculty reappointment in the Faculty Handbook and it is an important dimension of faculty development. Since the faculty are evaluated for contract renewal and promotion based upon scholarship, HPU support for a paid research leave facilitates the fulfillment of that part of faculty responsibilities. Though HPU is primarily a teaching institution, scholarship is a vital component of what faculty at this institution currently does and increasingly what they will do in the future. Teaching and scholarship are complementary and the two endeavors enhance one another, to the benefit of students, faculty, and the University as a whole. However, the demands of the teaching load at HPU and the geographic location of the university does not permit most faculty to engage in scholarship in a sustained way. Paid Research Leaves will allow for extended concentration on scholarly projects. The establishment of Paid Research Leaves is an important step towards addressing the issue of faculty workload mentioned in the WASC report and in numerous departmental external review reports. In addition, the increased amount and quality of scholarship produced by HPU faculty will enhance the reputation of the University, attract a higher caliber of student, and help in the hiring and retention of high quality faculty. Paid Research Leaves raise the overall quality of HPU and particularly of its faculty body.

Definition of a Paid Research Leave:

1. A Paid Research Leave is defined as a professional leave with pay, extending for one semester at full pay or for a full academic year (two semesters) at half pay. The University will continue to pay their normal share toward employee benefits during the paid research leave period.

2. In considering a full year leave, faculty members are encouraged to apply for funding that would offset the loss of one-half salary. However, faculty who receive full-time employment elsewhere would not be eligible to receive Paid leave. Instead, the faculty member could consider taking a leave without pay.

3. Paid Research Leaves are only granted for work which is directly related to faculty responsibilities at the University. Time spent on Paid Research Leaves will count toward promotion in rank.

4. Paid Research Leaves are not granted automatically upon the completion of the necessary period of service. Faculty members must demonstrate in writing, as part of the application, evidence of sound research, creative activity, or other academic achievement to support the program of work which they plan for the paid research leave period. They must also show that their proposed programs fulfill the "Criteria for Evaluating Proposals" outlined below. Applications that do not meet the criteria for leaves will not be considered.

5. Paid Research Leave is granted when, in the assessment of the relevant Academic Dean and Provost/Academic Vice President, the conditions of the department and the university are such that a faculty member's absence will not seriously impair the functioning of the university.

<u>Eligibility for Paid Research Leave</u>:

Career faculty with a terminal degree or equivalent experience in their discipline are eligible to apply for their first Paid Research Leave if they expect to have completed, by the end of that academic year, six years of full-time service or its equivalent. Subsequent Paid Research Leaves may be applied for at six-year intervals of full-time service. The six-year period may be fulfilled by an equivalent amount of service by reduced-load faculty. Upon the completion of a Paid Research Leave, time toward eligibility for the next Paid Research Leave begins in the following term.

NOTE: During the first several years after Paid Research Leaves are introduced there will be many more faculty eligible than leaves available. During this period faculty will be encouraged to stagger their applications. Paid Research Leave applications during these initial years, as in later years, will be evaluated and ranked and leaves awarded based upon ranking and number of leaves available.

<u>Evaluation of Proposals for Paid Research Leave:</u>

1. The Faculty Assembly Faculty Development and Activities Committee (hereafter referred to as the FDAC) will evaluate all Paid Research Leave proposals.

2. The application for Paid Research Leave will be made using forms and guidelines developed by the FDAC. The application and the other materials must be submitted to the Committee by the Committee's established deadline which is October 1 for leaves to be taken the following academic year.

3. Applications will be sent to the Office of Academic Affairs (OAA). Upon receipt, OAA will distribute applications to the FDAC Chair, the appropriate College Deans, and the Provost/ Academic Vice President. A week after applications are due, the FDAC Chair will send the appropriate College Dean a form soliciting the dean's evaluation of the application and the feasibility of the proposed leave timing.

4. Assessing differences in the quality of proposals arising from different disciplines is difficult, and an objective ranking based only on the overall quality of each proposal is normally impossible. The Committee will ordinarily sort the applications into groups based on perceptible differences in overall quality and form a final ranking of proposals based on that estimate of quality, breaking ties within any one group in favor of persons who have more years of faculty service at the University since their last Paid Research Leave (or since initial appointment if they have not yet had a Paid Research Leave).

5. After evaluating all applications, the FDAC will rank the proposals and send its evaluations and ranking to the Provost/Academic Vice President. The FDAC will make reference to and include the college Dean's recommendation in this report. The Committee also will send a brief assessment of the proposed project to the applicant. The FDAC will make its decision by November 1.

6. The Provost/Academic Vice President will submit a recommendation to the President in light of the total needs and fiscal capabilities of the University.

7. The Provost/Academic Vice President will give written notice to the applicant, the relevant college Dean and the Chair of the FDAC of the approval or disapproval. Applicants being reviewed for reappointment are informed that their Paid Research Leave is contingent upon the granting of reappointment.

<u>Criteria for Evaluating Proposals for Paid Research Leave</u>:

The following criteria will be used to evaluate Paid Research Leave proposals:

1. The professional quality of the leave proposal and the applicant's capacity to complete the goals indicated within the time of the Research leave.

2. The likelihood that the project will be successfully completed, taking into account the applicant's previous record of scholarly accomplishments.

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3. The likelihood that the proposed project will produce a significant contribution to scholarship as defined in the faculty handbook.

4. The likelihood that the project will make a significant contribution to the applicant's professional development in enhancing the applicant's mastery of his or her field of expertise.

5. The appropriateness of the project to the applicant's professional development goals.

Obligations of Paid Research Leave Recipients:

The recipient of a Paid Research Leave incurs these obligations:

1. To make every reasonable effort to fulfill the terms of the Research Leave.

2. To return to the University for the complete academic year following the academic year in which the Research Leave occurred.

3. To file a report on the results of his or her project with the Vice President and Academic Dean within thirty days after the beginning of the semester following the Research Leave.

4.18 Program Admission Criteria

Policy

Decisions concerning admission to individual Hawaii Pacific University programs rest within the individual colleges. Criteria used for determining admission are established by those programs. Program admission decisions are final unless, in very rare instances, it can be demonstrated that the program violated a policy established by the university.

Programs have the authority to:

- set their application deadlines
- require certain pre-admission examinations
- require satisfactory completion of certain course work prior to admission
- establish other pre-admission criteria

All programs should have written criteria for judging the admissibility of applicants published in each program's handbook, if those criteria exceed University admission standards. Each program may determine its admission criteria and processes for identifying admitted students. For professional programs an admissions committee will manage the admission criteria and process.

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4.19 Program Review and Assessment

Policy

All faculty have responsibilities in academic program review and learning assessment activities. The duties for regular faculty are agreed upon by the program faculty in consultation with the Department Chair and the Dean of the college, while staying in compliance with WASC standards and good practices *www.wascsenior.org/*

Program review is to be used in planning and the allocation of resources.

Program Review and Learning Assessment

General Procedures

Major reviews of programs are to be completed every 5 - 6 years. An internal report is written, followed by an external review. Follow up discussion between program faculty and academic administration is documented and referred to in subsequent internal reports. Program review is to be used to help allocate resources.

Compliance with WASC Standards and good practices is defined by HPU as having a Program Review Portfolio in each college, maintained electronically (hard copy optional; copies of reports and documentation are also to be sent to the Director of Assessment). The Program Review Portfolio contains:

- Evidence of active collaboration with MCP faculty in all programs offered on MCP.
- Current program learning objectives that include in some form: critical thinking, communication, post-graduate capability.
- Current learning assessment plans for each program that align at least 2 courses with each program learning objective, choosing courses in which a major artifact of student work will reflect learning that relates to the degree objective. Priority in selecting courses is given to multi-section and online courses. These plans align program objectives with selections of student work (from upper-division courses, usually) that have the potential to demonstrate significant learning that is relevant to the respective objectives. This includes assessments of learning in courses that provide "service" to another degree. Student work needs to be collected and assessed for each objective within the plan period (approximately every 2-3 years). Learning assessment plans additionally include, where relevant, assessment activity that addresses comparability of student learning across locations and modalities (in-person, online, hybrid).
- Current learning assessment timelines for each program that shows what learning outcomes are being assessed each term, using student learning artifacts collected from previous terms.
- Peer reviews to complete two learning assessments each semester, in which comparisons are made whenever possible between modality (classroom/online) and setting (campus/MCP).
- Peer review of 1-2 online courses, in programs with online courses in the major using QM Rubric and in accordance with HPU's Distance Education Quality Assurance Plan
- Annual program review reports that include review of enrollment data, learning assessment results, and improvements and effectiveness of improvements.

- Reports from major reviews of program capacity/quality and learning assessment/improvements completed approximately every 5-6 years followed by an external review, which includes a written report.
- Documented follow up discussions after the internal program review, external review and related recommendations, between the program faculty and both the Dean and Director of Assessment. These meetings are to discuss plans for program improvement and allocation of resources.

Use templates posted on Campus Pipeline for reporting learning assessment plans, timelines, reports & annual program review reports. Submit reports to your Department Chair, Dean and Director of Assessment.

Program Review (Internal Report)

The specific format and content of the internal program review report is determined by the program faculty, but it needs to contain the core elements described in these excerpts from the WASC Resource Guide for 'Good Practices' in Academic Program Review-September 2009 (*provide link*).

1. Introduction/Context

Most reviews begin with a section that provides a context for the review. In contrast to the rest of the self-study report, this portion is primarily descriptive and may include:

The internal context – In what department does it reside? In which school or college? What degrees does it grant? What concentrations are available?

The external context – How is the program responsive to the needs of the region or area in which it serves?

It may also include a brief history of the program or a description of changes made in the program since the last review (if relevant).

A key component in providing the context for the review is a description of the program's mission, goals, and outcomes. A mission statement is a general explanation of why your program exists and what it hopes to achieve in the future. It articulates the program's essential nature, its values and its work. Goals are general statements of what your program wants to achieve. Outcomes are the specific results that should be observed if the goals are being met.

2. Analysis of Evidence about Program Quality & Viability

The bulk of a self-study report consists of a presentation and analysis of evidence about the quality and viability/sustainability of a program. This major portion of the report addresses the extent to which program goals are being met by using evidence to answer key questions related to those goals.

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To facilitate meaningful analysis of the evidence, it is helpful to provide guiding questions to structure the self-study inquiry and report. … Hence, a set of sample questions is embedded below within each of the core elements typically analyzed in a self-study report.

Program evidence falls into two categories:

- Evidence that addresses questions about program quality
- Evidence that addresses issues of program viability and sustainability

2a. Evidence of program quality typically addresses questions about:

- *Students* – What is the profile of students in the program and how does the profile relate to or enhance the mission and goals of the program?

    - Data in this category might include students' gender, ethnicity, age, GPA from previous institution, standardized test scores, type of previous institution, and employment status.
    - Note that the specific list of indicators in this category will depend on the goals of the program.

- *The Curriculum and Learning Environment* – How current is the program curriculum? Does it offer sufficient breadth and depth of learning for this particular degree? How well does it align with learning outcomes? Are the courses well sequenced and reliably available in sequence? Has the program been reviewed by external stakeholders, such as practitioners in the field, or compared with other similar programs? Evidence in this category might include:

    - A curriculum flow chart and description of how the curriculum addresses the learning outcomes of the program (curriculum map)
    - A comparison of the program's curriculum with curricula at selected other institutions and with disciplinary/professional standards
    - Measures of teaching effectiveness (e.g., course evaluations, peer evaluations of teaching, faculty scholarship on issues of teaching and learning, formative discussions of pedagogy among faculty)
    - A description of other learning experiences that are relevant to program goals (e.g., internships, research experiences, study abroad or other international experiences, community-based learning, etc.), as well as how many students participate in those experiences.
    - A narrative that describes how the faculty's pedagogy responds to various learning modalities and student learning preferences.

- *Student Learning and Success* – Are students achieving the desired learning outcomes for the program? Are they achieving those outcomes at the expected level of learning, and how is the expected level determined? Are they being retained and graduating in a timely fashion? Are they prepared for advanced study or the world of work? Evidence in this category might include:

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- Annual results of direct and indirect assessments of student learning in the program (could be combination of quantitative and qualitative measures), including the degree to which students achieve the program's desired standards
- Ongoing efforts by the department to "close the loop" by responding to assessment results
- Student retention and graduation rate trends (disaggregated by different demographic categories)
- Placement of graduates into graduate schools or post-doctoral experiences
- Job placements
- Graduating student satisfaction surveys (and/or alumni satisfaction surveys)
- Employer critiques of student performance or employer survey satisfaction results
- Disciplinary ratings of the program
- Student/Alumni achievements (e.g., community service, research and publications, awards and recognition, professional accomplishments, etc.)

- *Faculty* – What are the qualifications and achievements of the faculty in the program in relation to the program mission and goals? How do faculty members' background, expertise, research and other professional work contribute to the quality of the program? Evidence in this category might include:

  - Proportion of faculty with terminal degree
  - Institutions from which faculty earned terminal degrees
  - List of faculty specialties within discipline (and how those specialties align with the program curriculum)
  - Teaching quality (e.g., peer evaluations, faculty self-review)
  - Record of scholarship for each faculty member
  - Faculty participation in development opportunities related to teaching, learning and/or assessment
  - External funding awarded to faculty
  - Record of professional practice for each faculty member
  - Service for each faculty member
  - Distribution of faculty across ranks (or years at institution)
  - Diversity of faculty
  - Awards and recognition

[Note that the specific list of indicators in this category will depend on the goals of a particular program/department/college.]

2b. Evidence of program viability and sustainability typically addresses questions about the level of student demand for the program and the degree to which resources are allocated appropriately and are sufficient in amount to maintain program quality:

- Demand for the program

  - What are the trends in numbers of student applications, admits, and enrollments reflected over a 5-8 year period?

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- What is happening within the profession, local community or society generally that identifies an anticipated need for this program in the future (including market research)?

- Allocation of Resources:

  - Faculty – Are there sufficient numbers of faculty to maintain program quality? Do program faculty have the support they need to do their work?
    - Number of full-time faculty (ratio of full-time faculty to part-time faculty)
    - Student-faculty ratio
    - Faculty workload
    - Faculty review and evaluation processes
    - Mentoring processes/program
    - Professional development opportunities/resources (including travel and research funds)
    - Sufficient time for course development, research, etc.

  - Student support
    - Academic and career advising programs and resources
    - Tutoring, supplemental instruction, and T.A. training
    - Basic skill remediation
    - Support for connecting general learning requirements to discipline requirements
    - Orientation and transition programs
    - Financial support (scholarships, fellowships, teaching assistantships, etc.)
    - Support for engagement in the campus community.
    - Support for non-cognitive variables of success, including emotional, psychological, and physical interventions if necessary
    - Support for research or for engagement in the community beyond campus, such as fieldwork or internships

  - Information and technology resources
    - Library print and electronic holdings in the teaching and research areas of the program
    - Information literacy outcomes for graduates
    - Technology resources available to support the pedagogy and research in the program
    - Technology resources available to support students' needs

  - Facilities
    - Classroom space
    - Instructional laboratories
    - Research laboratories
    - Office space
    - Student study spaces
    - Access to classrooms suited for instructional technology

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        - Access to classrooms designed for alternative learning styles/universal design

    - Staff
        - Clerical and technical staff FTE supporting program/departmental operations

    - Financial resources
        - Operational budget (revenues and expenditures) and trends over a 3-5 year period

3. Summary Reflections

This portion of the self-study report typically interprets the significance of the findings in the above analysis of program evidence. Its purpose is to determine a program's strengths, weaknesses, and opportunities for improvement.

It is helpful to have questions that guide the interpretation of the findings, such as:

- Are the curriculum, practices, processes, and resources properly aligned with the goals of the program?
- Are department/program goals aligned with the goals of the constituents that the program serves?
- Is the level of program quality aligned with the college/university's acceptable level of program quality? Aligned with the constituents' acceptable level of quality?
- Are program goals being achieved?
- Are student learning outcomes being achieved at the expected level?

It is also helpful to have evaluation criteria in mind; that is, what guidelines will be used to determine what the evidence suggests about the program's strengths and weaknesses? In some cases, an absolute standard may be used. For example, it may be decided that a student-faculty ratio of 25 to one is necessary to ensure program quality, and any ratio higher than that is unacceptable. In other cases, a norm-referenced criterion may be more appropriate. For example, if a national student survey was used to assess student satisfaction with the program, the evaluation criterion might be that your students' satisfaction is at least as high as students at other similar institutions.

4. Future Goals and Planning for Improvement

Self-study reports conclude with a section devoted to future planning and improvement. Findings from all prior sections of the report serve as a foundation for building an evidence-based plan for strengthening the program. This section might address such questions as:

- What are the program's goals for the next few years?
- In order to achieve these goals:
    - How will the program specifically address any weaknesses identified in the self-study?

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- How will the program build on existing strengths?
- What internal improvements are possible with existing resources (through reallocation)?
- What improvements can only be addressed through additional resources?
- Where can the formation of collaborations improve program quality?

Program Review (External Review)

Professional Context:

The context for HPU external reviews is that the visit is service to one's profession not a high-end consultation. HPU has a record of positive experiences that confirm there are professionals in every discipline who have been willing to review on these terms.

The external review must comply with HPU's Conflict of Interest Policy. Specifically, the reviewer selected should not teach or have any other financial agreements with HPU, such as recent or future teaching, consultation, presentations, etc. However, a reviewer is welcome to present ideas to the faculty that relate to the profession and have implications for program quality, such as changing standards or new technology or theories that would be of interest. The reviewer should also not have any connections with faculty that involve advantages or other benefits that might result from being the reviewer.

Procedure:

a. The Program Review Chair performs a rigorous search of peer institutions, starting within the WASC region, to identify potential external reviewers and reports the search methods and resulting candidate(s) to the program faculty.
b. Once the program faculty endorses both the search methodology and potential candidate(s), the program faculty confirms no conflict of interest exists between them and the candidate(s).
c. Agreement is reached with both the Department Chair and Dean on the best candidate or several best candidates, and possible dates for the external review.
d. The Program Review Chair, Department Chair or Dean then contacts the candidate to discuss the possibility of the candidate serving as the external reviewer. This is only a general discussion of terms and possible interest. It explicitly notes that the discussion is not a formal contract.
e. Upon agreement with the candidate on the general idea of conducting the review, a memo/email with the proposed reviewer's CV is written by the Program Review Chair and sent to the Vice President of Academic Affairs, the Dean and the Director of Assessment for their confirmation. This memo/email confirms program faculty agreement and compliance with HPU's Conflict of Interest Policy. After the Dean and Director of Assessment indicate their endorsement, the Vice President of Academic Affairs confirms the final decision.
f. When approvals are complete, a letter offering a contract to the external reviewer is issued by the Vice President of Academic Affairs, with copies to the Program Review Chair, Department Chair, Dean, and Director of Assessment. The contract terms include:
    - An honorarium for 5 days - 3 days on campus, 1 day for preparation and 1 day for report writing. The report is a modest summary report with observations,

comment on the review and faculty recommendations, and the reviewer's recommendations. This honorarium is paid after the report is submitted.
    - The reviewer purchases the airline ticket at economy fare at a reasonable price. HPU can start processing the payment as soon as the reviewer submits a receipt.
    - HPU pays for lodging, meals and ground transportation. The hotel should be booked by OAA. In most cases, HPU can pay directly.
    - HPU anticipates up to $2500 to $3000 will be the maximum total cost of the external review.
    - Allowable costs are determined by HPU expenses policies.
    - Reviewers are welcome to add days to their visit to see Hawai'i at their personal expense.

g. The Program Review Chair contacts the OAA to determine what forms and paperwork are required for the external review, from start to finish - from request to purchase of tickets to completion and reimbursements.
h. The Program Review Chair follows up with the external reviewer after approvals/forms are complete, to advise to go ahead and purchase an economy-fare airline ticket. Once purchased, the eticket is forwarded to the OAA to begin processing the reimbursement. The external reviewer is provided contact information for the OAA for any questions relating to costs and reimbursements.
i. The Program Review Chair provides the external reviewer with a copy of the internal program review report, with sufficient time for them to properly prepare in advance of the site visit.
j. The Program Review Chair, with assistance from program faculty as appropriate, facilitates the site visit. The site visit includes interview sessions with program faculty, students, academic administration, and campus tours.
k. Upon receipt of the external reviewer's final report, it is provided to all program faculty, the Department Chair, Dean, Director of Assessment and VP of Academic Affairs.
l. The Dean and VP of Academic Affairs discuss with the program faculty how the external review report will be used to improve the academic program. This discussion is documented and included in the college's program review portfolio. It is to be referred to in subsequent program reviews.

4.20 Reproduction and Printing Services

Policy

The University provides faculty the ability to have materials reproduced (printed or scanned), to support their needs for teaching, scholarship, and service. The cost for reproduction is ultimately paid by Departments, and large copy requests may require prior approval, depending on Departmental/College policy. Excessive, wasteful reproduction of materials is strongly discouraged. Double sided printing should be used when possible.

Copyright laws govern the reproduction, distribution and use of copyrighted material. The University maintains that the responsibility for adhering to these laws rests on those requesting the reproduction of copyrighted materials.

Procedure

Faculty are able to have materials, including syllabi, tests and exams copied and scanned by the Faculty Support Center, which has locations at both the Downtown and Hawai`i Loa campuses. Individual departments may also be able to provide their faculty access to copiers and scanners.

Faculty should inform the supervisory staff when submitting exams or other confidential and sensitive materials for reproduction to ensure that the materials are handled in a secure manner.

In lieu of reproducing mass quantities of copyrighted materials, faculty should consider posting them online and/or using the "reserve reading service" available through the University's libraries which places materials on reserve for students.

4.21 Social Networking Policy

Introduction

This social networking policy applies to the entire University, including all of its campuses, as well as a number of Student Life entities and elements that employ Social Network media. A number of departments at Hawaii Pacific University are represented on Facebook, Twitter and other social media sites online. All HPU colleges, departments, organizations and programs are expected to adhere to the following policy and procedures when engaging in social media.

Policy

Social media accounts made for HPU must be created by an authorized representative of the University.

In order to comply with most platforms' terms and conditions, and to enable the University to assess authorized accounts and platforms, any part (unit) of the HPU organization wishing to create an account with a social media platform should provide the University's webmaster with information about such accounts, along with the contact information for the individual(s) who will be authorized by the department to create, operate, monitor and edit accounts on an ongoing basis (i.e. the “Page Administrator”). Students may be named as Page Administrators only with the written consent of their Dean, Department Chair or club’s faculty advisor.

A unit's authorized administrator(s) must maintain the security of account passwords and identification. These individuals are fully responsible for all use of accounts and any actions that take place using the account.

Any use of images (including video) must have the express written consent of the person(s) in the image (video). Any copyrighted illustration or non-HPU logos used must have the written consent of use as documentation for the HPU web master’s reference.

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Account holders must adhere to all applicable University policies, especially those for proper use of University property, confidentiality, civility and free speech.

Procedure

Anyone wishing to create an account needs to provide HPU's webmaster (webmaster@hpu.edu) with:

- The name of the department or group wishing to initiate a social media site
- The contact information of the department or group's administrator for the social media site
- The link to the social media site and any link to requirements for account creation if possible
- An explanation of the content to be placed in the social media site

The webmaster will ascertain the feasibility of the social media site and assist in its initial set up.

Best practices for establishing a social networking site

The web is not anonymous. Everything written or posted on behalf of the HPU can be traced back to HPU and to a specific individual. Before launching a social networking site:

- Notify your college/department/unit communications staff and HPU's web master of any initiative to have a social network presence. If applicable contact your college's/department's/program's social media/network administrator to contact the web master.
- Keep HPU contact information accurate and current.
- Understand that passwords and administrator access to the site must be carefully managed.
- Establish criteria for replying to comments, including timeliness and appropriateness.
- Avoid duplicating efforts. Be aware of current initiatives under way by checking with your department.
- All content should be age appropriate. Do not post information, photos or videos that will reflect negatively on you, your academic department, or HPU. All official posting should reflect HPU positively, with honesty and openness to our audience and be respectful.
- Respond in a timely and courteous manner. Disagreements may often occur, but opinions should be appropriate and polite.

Raise awareness of your communications efforts by:

- **Link back—**Provide links back to your colleges'/departments'/programs' web page(s) from the social networking sites.
- **Adhere to HPU branding—**Use the HPU's branding and promote that positive HPU experience online.
- **Share your social networking site—**Many HPU colleges/departments/programs have official HPU approved social networking presences. Contact HPU's web master (webmaster@hpu.edu) to include yours within the hub of HPU approved sites.

- **Register your social networking site with HPU's web master—** HPU's web master can include your site in a list of HPU social network sites and help promote your site as such in HPU's website and other HPU approved social network sites.

Terms of use

Know the terms of service for the site being used. Also, understand that by using any site there is implicit agreement **not to**:

- Send or post unauthorized commercial communications (spam).
- Upload viruses or malicious code.
- Solicit another user's login information or access her account.
- Bully, intimidate, or harass any user.
- Post content that is hateful, threatening, pornographic, or gratuitously violent.
- Do anything unlawful, misleading, malicious, or discriminatory.

Failure to follow the prescribed steps above in your social media site will result in notification to change the social media site until it meets the requirements above. If after notification the request has not been met, HPU will revoke any affiliation with your site and remove it from any social networking strategy HPU uses to link and network all of HPU's social network/media sites promotion.

Images

When selecting a profile image for your HPU approved social media site you must choose an appropriate image that best represents and showcases Hawaii Pacific University. Use of the school logo with the nameplate is allowed as are images of the campus grounds.

Any use of individual portraits or groups of people used as profiles must have the express written consent to be used on the HPU approved social media site. The images must also use HPU branding (colors, logo and nameplate) to identify and promote the HPU brand.

Social Networking Icons

If you need the use of any social media icons to place in your HPU.edu pages as links to your social media sites, contact HPU's web master at webmaster@hpu.edu.

If you have any questions or need any assistance with graphics, images or design of your social media site contact the HPU web master at webmaster@hpu.edu. If you need help implanting social media widgets and elements into your HPU.edu pages you should contact the HPU web master at webmaster@hpu.edu as well. The web master department will help you in any way possible in ascertaining the viability of your site as a HPU approved social media site and in any capacity to help brand your site.

Failure to follow the prescribed steps above in branding your social media site will result in notification to change the social media site until it meets the requirements above. If after notification the branding request has not been met, HPU will revoke any approval of your site

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and remove it from any social networking strategy HPU uses to link and network all of HPU's social network/media sites promotion.

Third Party Advertising

It should be the HPU site initiator's responsibility to ensure the site owners do not display advertising on an HPU branded site that is not in line with HPU values.

Implicit Contract

The click-through agreement for a social media site legally commits the University. It is in effect a contact between the University and the site owner. The HPU initiator needs to be aware of this and know if they have the authority to contractually commit the University. Please contact the Office of the General Counsel for more information.

Social Networking Requirements and Guidelines at Hawai`i Pacific University

When possible, all social media sites must include:

- Name of the responsible publisher or information provider, and contact information
- Copyright information
- HPU school colors
- HPU logo or HPU logo with HPU nameplate

Facebook

The official HPU Facebook page is the Hawaii Pacific University Facebook page (http://www.facebook.com/hawaiipacific). All other HPU colleges, their programs, departments, athletic teams, student clubs or HPU related organizations are considered entities or affinity groups should all connect and link their pages to the official Hawaii Pacific University Facebook page. Conversely, the Hawaii Pacific University Facebook page will link to other University colleges and their programs, departments, athletic teams, student clubs or HPU related organizations Facebook pages or group sites to create the HPU social network. Only HPU approved Facebook pages will be included within the network and be promoted in HPU's website and other marketing and contact material as needed.

If you are to maintain your own colleges, programs, departments, athletic teams, student clubs or HPU related organizations Facebook page you must assign a department approved administrator in your department to handle all Facebook related issues and updates. Any HPU Facebook page or Facebook group—aside from the official HPU Facebook page-- is ultimately the responsibility of your department. Your department will be held responsible for any content used within, any updates or understanding of the technical usage of Facebook.

Twitter

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The Official HPU Twitter page is http://www.twitter.com/HPU. If you have any general announcements or information you would like added to the HPU Twitter feed, please send that information to the HPU web master at webmaster@hpu.edu.

If you are to maintain your own college's, program's, department's, athletic team's, student club's or HPU related organization's Twitter page you must assign a department approved administrator in your department to handle all Twitter related issues and updates. Any HPU Twitter page—aside from the official HPU Twitter page-- is ultimately the responsibility of your department. Your department will be held responsible for any content used within, any updates or understanding of the technical usage of Twitter.

All Twitter accounts should be consistent in naming. Not only does it make you easier to find, but it also ensures a cohesive and consistent identity on Twitter. All accounts should begin with "HPU" and then specify department or organization. For example, the athletics department could be named "HPUathletics". Underscores or numerals are not permitted. These symbols are hard to remember and will make searching for your account difficult.

Any links used in any Twitter posts should have their URLs (web address) shortened by using any number of URL shortener sites. Twitter will automatically shorten any long URLs pasted within posts. The URL shortener for the official HPU Twitter account uses Bit.ly (http://bit.ly/). Remember Twitter posts use 140 characters or less so use the link shortener sites to effectively post your message. If possible link back to pages within HPU.edu's site to effectively network HPU and promote its brand and information.

YouTube

The Official HPU YouTube Channel page is http://www.youtube.com/HawaiiPacificU. All other HPU colleges, their programs, departments, athletic teams, student clubs or HPU related organizations are considered entities or affinity groups should all connect and link their YouTube Channels to the official Hawaii Pacific University YouTube Channel page.

If you are to maintain your own colleges, programs, departments, athletic teams, student clubs or HPU related organizations YouTube channel page you must assign a department approved administrator in your department to handle all YouTube related issues and updates. Any HPU YouTube page—aside from the official HPU YouTube Channel page-- is ultimately the responsibility of your department. Your department will be held responsible for any content used within, any updates or understanding of the technical usage of YouTube.

Embedding Content on HPU.edu websites

Beware—your embedded content may be here today and gone tomorrow. Content embedded from a third party could be removed by that party, or the servers at the source may fail, without notice.

- Embedded content must come from a profile set up as an official HPU account
- Content must be related to HPU.
- Avoid embedding feeds that contain public comments.

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• Do not use images of people without their permission.
• HPU images uploaded to Flickr must include the following text on the image itself: "Copyright Hawaii Pacific University. All rights reserved." Any images not owned by HPU but used within embedded content from a Social Media site must have the express written consent from the image owner for documentation.
• Do not embed widgets displaying photos of individual's profile pictures, such as Facebook's Photo Badge.

For questions regarding embedding content, contact HPU's webmaster at webmaster@hpu.edu.

4.22 Solicitations on Campus

Background
The solicitation on campus policy is intended to exercise the required control and supervision of the campus to ensure that employees and students have the opportunity to function free from intrusions and that campus activities do not disturb or interfere with the regular academic or institutional programs of the University. This policy applies to all real property over which the University has possession and control by law and to all student, faculty, staff, university organizations, or anyone attempting to solicit through any means on campus. Private businesses operating on campus may function to the extent permitted in their contract. The University reserves the right to accept or reject any and all solicitation activities.

Solicitation means the sale, offer for rent/sale, or offer to purchase any property or service, whether for immediate or future delivery, and the receipt of or request for any gift or contribution. Solicitation includes any method of marketing by way of direct selling or indirect selling, including the use of hard copy materials such as posters, flyers, handouts, or other promotional literature, and electronic or verbal means. All such activities shall be subject to the provisions of this policy.

Exceptions to this policy which are intended to address the University's broader mission may be made by the Office of University Counsel. That mission includes but is not limited to educating students, providing residential space, participation in enrichment programs, participation in organization and athletic events, and serving the community at large, for example, allowing United Way or Red Cross Blood drives.

Policy
The University reserves the right to regulate any solicitation or distribution activities by any employee, student, faculty, non-employee, or organization that actually or potentially disrupts or interferes with the normal conduct of business of the University. Solicitations on campus are generally prohibited for commercial ventures, personal causes, outside organizations, or other non-job-related situations. Specifically, faculty supervising other faculty or staff may not request or expect of those supervised any financial or other type of support for themselves or other organizations. It is also expressly prohibited to use any campus communication systems to solicit.

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All approved solicitation activities must be endorsed through petition or contract by the Office of University Counsel or their designee. Solicitation activities must be conducted in a manner that do not disturb or interfere with the academic programs or administrative activities of the university or any program or activity conducted by or authorized by the university.

Procedure
Approval for solicitations activities must follow the guidelines and processes identified by the Office of University Counsel and/or in relevant faculty and student handbooks.

Guidance for student organization fundraising activities is provided at www.hpu.edu/**Student**life/Clubs/Doc/RSO**Handbook**2013-2014.pdf.

Guidance for athletic programs fundraising activities is provided at Athletes Handbook.

Impermissible solicitation on campus by unauthorized agents, or by authorized agents who are conducting such in a manner which violate this policy should be reported immediately to the Office of University Counsel. The event will be investigated and disciplinary action or criminal reporting may occur in accordance with university policy and/or local, state or federal laws.

4.22.1 Posting Information on Bulletin Boards

The purpose of the posting policy is to articulate the University's guidelines on the posting of signs on campus. Signs shall include but are not limited to posters, brochures, fliers, announcements, banners or other notices. This policy recognizes that signs serve as a means for communicating information to the campus community in a timely and orderly manner.

Policy

The University gives the authority to supervise the use of the campus bulletin boards to various departments. **Departmental bulletin boards** are identified, controlled and maintained by the department; only department approved materials are allowed to be posted. The bulletin boards are generally for the posting of notices regarding meetings, activities and events sponsored by departments and recognized clubs or organizations. Materials may not be distributed door to door or by placing materials on parked vehicles. Postings not approved by the sponsoring department will be removed. The University is not responsible in any way whatsoever for the loss, removal and/or damage to any materials posted on University bulletin boards. Students, staff, faculty, or organizations off campus individuals may be charged for costs incurred from improper posting. Signs not meeting the educational goals and mission of the University, containing false, misleading, or fraudulent information, or discriminating or offensive language are strictly prohibited.

Procedure:

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Approval procedures vary according to the departmental use. Departments are responsible for their designated bulletin boards. Some departments may require stamps of approval.

Suggested departmental guidelines follow:

1. Each department should determine the specific use of their bulletin boards and identify a maximum size for their signs.
2. Signs should be posted where they are fully visible and do not cover other postings.
3. Signs should identify the event, the event sponsor, and the time and date of the event.
4. Signs should have the name, phone number or email of a contact person.
5. All postings should be removed by the sponsoring organization within two days after the event.
6. Signs written in a language other than English should contain an English translation.
7. Signs advertising alcohol sales should not to be approved.
8. Postings may be edited or rejected in accordance with the University policy or at the discretion of the controlling department.
9. Commercial materials should not be posted.

4.23 Special Appointment Faculty Procedures and Conditions

The conditions of the employment of Special Appointment Faculty are specified in their appointment contracts, in this Manual, and in the Employee Handbook, and are not covered by Chapter IV of the Faculty Handbook. Failure to adhere to University policies may lead to discipline or dismissal prior to the expiration of their contracts.

All members of the Special Appointment Faculty have their performance evaluated at some time during the academic year by Regular Faculty within the specific discipline.

a. **Adjunct Faculty** are expert practitioners in various fields of study who meet at least the minimum degree requirements for teaching in their respective fields of instruction. Adjunct faculty are engaged to teach fewer than 24 credits annually on a part-time, course-by-course basis. Adjunct faculty are employed pursuant to a term contract, have no voting privileges in faculty governance, receive no fringe benefits, and are expected to be available to advise students regarding their course work. Their specific teaching responsibilities are detailed in their letter of appointment from the University. This appointment is made by the Dean of the College, acting on the recommendation of the Department Chair. While a formal search process is not required and is ordinarily not practical under the usual time constraints for hiring part-time faculty, care should be taken to ascertain that the proposed adjunct faculty member possesses the appropriate credentials and experience. It is the responsibility of the Department Chair to inform adjunct faculty about the mission and objectives of the department in relation to the University, as well as about the conditions under students are taking the course.

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b. **Affiliate Faculty** are appointed for a term, a semester, or an academic year at an appropriate professorial rank, with appropriate and agreed upon benefits, as specified in the letter of appointment. The Affiliate title may be applied to faculty who concurrently hold positions in another institution, enterprise, or government office, and whose responsibilities at the University are normally part-time. Affiliate faculty do not participate in faculty governance. An Affiliate Faculty member is appointed by the Dean of the College, acting on the recommendation of the Department Chair, who will normally have consulted with members of the department (though a formal search process is not required).

c. **Clinical Faculty** are full-time or part-time faculty who are engaged primarily in the area of clinical or professional practice. Their appointments are for a term or an academic year, and are renewable depending to satisfactory performance. Their duties and compensation are as specified in the letter of appointment. A Clinical Faculty member is appointed by the Dean of the College, acting on the recommendation of the Department Chair, who will normally have consulted with members of the department (though a formal search process is not required).

d. **Emeritus Faculty** rank may be assigned to individuals who have limited or terminated their responsibilities as a Regular Faculty member for valid reasons such as retirement or illness after 10 or more years of service to the University. The appointment as Emeritus originates in the candidate's department and is considered according to the same procedures as are specified below for Reappointment. If approved by the Faculty Promotion and Review Committee and the President, the formal designation is granted by the Board of Trustees on the President's recommendation. Emeritus faculty may be offered part-time term contracts by the President to teach or fulfill other duties. In such cases, supplementary benefits, if any, will be set forth in the contract and such term contracts will be limited to less than half-time faculty status. In order to promote close ties between the University and its emeriti or other retired faculty, certain privileges are available to these faculty which are specified in Chapter 3 of the Faculty Handbook.

e. **Lecturer** rank is offered for positions that may not require a terminal degree, in situations where the position is designated for a temporary length of time, or for a position that does not emphasize scholarly activity.

(1) **Lecturers** are employed on an annual contract and are selected by the Dean and department chair in consultation with the Vice President for Academic Affairs. A Lecturer position is not Career-track and does not lead to or count toward Career faculty status, nor does it lead to promotion to the regular academic ranks. Selection of Lecturers should be consistent with the University's academic standards.

Lecturers:

a) may be employed on a full- or part-time basis (if part-time, the appointment is at least half-time);

b) are expected to be available at least one hour per week for each course taught to advise students regarding their course work;

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c) are employed pursuant to a term contract;
d) have responsibilities for teaching, advising, service to the department, and for continued professional development appropriate to the discipline;
e) are evaluated annually.

(2) **Senior Lecturer**: This title may be assigned to a Lecturer in recognition of effective teaching service over a period of at least six years. Assignment of this title is made by the Vice President for Academic Affairs, upon the recommendation of the Department Chair, the College Committee on Promotion and Review, and the Dean. Expectations and criteria for Senior Lecturers are the same as those listed above for Lecturers.

f. **Research Faculty** are engaged primarily in research activities, usually supported by external funding. Research faculty may be associated with a center or institute rather than a degree-granting department. They are appointed in recognition of their research accomplishments and their ability to obtain/or maintain external funding. A research faculty member is eligible to serve as a principal investigator and may also engage in teaching as assigned. A Research Faculty member is appointed by the Dean of the College, acting on the recommendation of the Department Chair, who will normally have consulted with members of the department (though a formal search process is not required).

g. **Visiting Faculty** are hired on an annual or semester basis for no more than two years to meet the needs of the University with the understanding that the University has made no commitment to on-going full-time employment. Visiting faculty do not participate in faculty governance. A Visiting Faculty member is appointed by the Dean of the College, acting on the recommendation of the Department Chair, who will normally have consulted with members of the department (though a formal search process is not required).

h. **Distinguished Visiting Faculty** are those members of the visiting faculty who are especially recognized in their fields as scholars or practitioners. The title is conferred by the President, upon the recommendation of the Dean, the Department Chair, and the Regular Faculty members in the department.

4.23.1

Conversion of Special Appointment Faculty to Regular Faculty Status

POLICY:

Special appointment faculty are not hired with any promise or expectation of conversion to full time regular status. However, the conversion of special appointment faculty to full time status is not prohibited. For the purposes of this section, conversion refers to special appointment faculty moving to full-time regular status without a national search.

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The university recognizes that overreliance on "teaching only" faculty positions, such as those generally held by special appointment faculty, may have detrimental consequences for the institution, faculty and students, in particular through lower levels of engagement of both teachers and students and a less rigorous peer review system, with negative results for retention and student success. Conversion of special appointment faculty should not be the normal avenue for hiring regular faculty (Procedures for Initial Appointment of Regular Faculty are outlined in Chapter IV, D, of the 2014 Faculty Handbook). However, conversion of special appointment faculty to full-time faculty status can be used to recognize the special skills and value that such faculty may bring to the institution.

PROCEDURE:

In order to convert existing special appointment faculty to regular status, the department and faculty candidate must adhere to the following procedures:

--a department should survey its use of special appointment faculty over the past two year period. If special appointment faculty have been assigned to courses which, grouped together, might constitute a full-time regular faculty position and serve a need in terms of providing service for core courses in the major and/or General Education Program offerings, and/or in providing specialty coverage for courses not taught by other members of the department for which there is demonstrated student demand, the department can create a recommendation for the creation of a full-time regular faculty position to cover those classes/ specialty.

--departments can also make a case for conversion of special appointment faculty who would bring demonstrated special and needed skills to the department in research and service areas not covered by the current regular faculty members.

--all career track and career faculty members must be allowed to vote on a) the creation of a new position, and b) conversion of a special appointment faculty member to regular status. Under no circumstances can a special appointment faculty member be converted to full-time regular faculty status without consultation with and agreement by the majority of faculty in the relevant department.

--the request to create a position and the specific conversion has to be approved by both the Dean and the Provost

--the special appointment faculty member should have demonstrated the potential to execute service to the department outside of teaching and should have a developed or clearly outlined research agenda. This information should be included in the department's recommendation to the dean and provost.

--normally, converted faculty are not converted into any rank higher than assistant professor (this may differ, however, depending on the credentials of the candidate, e.g., in the case of a visiting or distinguished visiting professor) Converted faculty will normally enter year 1 of the career track contract cycle.

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4.24 Student Placement

Policy

Hawai'i Pacific University students may be required to take placement tests before registering for certain classes. If the student does not provide or give HPU access to his/her SAT or ACT scores, the student will be required to take the math and writing placement exams. All of the placement exams are available to students so that they may be placed into a more advanced course. The Center for Academic Success (CAS) offers different testing services for on-campus students. http://www.hpu.edu/StudentServices/CAS/Testing/index.html

- Placement testing in English (writing), math, modern language, computer science, business and management are available to HPU students.
- Proctored testing for students who are eligible for ADA accommodations.

Procedure:

Bring a picture ID to the testing location. Paper and #2 pencils will be provided.

English Placement Test
TIME: 50 minutes
This is an essay typed on a computer. You will be given a short essay prompt and asked to compose a well-organized, cohesive essay of 300-600 words.

Math Placement Test
TIME: Un-timed
Total time could range from 1.5 to 2.5 hours. You will be provided paper for making calculations, which will be collected at the end of the test. No calculator is permitted.

Modern Language Placement Tests
TIME: 90-100 minutes
Placement tests are available for French, German, Hawaiian, Japanese, Mandarin Chinese, Spanish, and Korean.

CSCI Skills Test
TIME: 70 minutes
Testers achieving a passing score do not need to take CSCI 1011 and satisfy the general education Digital Literacy requirement.

BUS 5000/5100/5200 Examination
TIME: 2 hours

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Testers achieving a passing score on a Business examination do not need to take the respective class(es).

MGMT 6100 Challenge Examination
TIME: 2 hours
Testers achieving a passing score do not need to take MGMT 6100.

Placement:

MATH:
As an incoming HPU student, you will have a "math placement category." Your math placement category determines in which math classes you may (and may not) enroll. Your math placement category is determined by at least one of the following:

1. SAT/ACT Math scores
2. Accuplacer score (http://www.hpu.edu/StudentServices/CAS/Testing/Placement_Testing.html)
   Note: Students automatically placed into a math course may still want to take a placement test to get into a higher level of math.

HPU Math Placement Courses by SAT, ACT, & ACCUPLACER Exam Scores				
SAT Math Score	**ACT Math Score**	**ACCUPLACER Math Score** *Elementary Algebra* **or** *College Level Math exam*	**Courses**	
630+	28+		**Option to place out of the General Education Program requirement, unless course is required by major**	
Student must take		103-120 *College Level Math*	**MATH 2214**	**PHIL**

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College Level Math ACCUPLACER exam				**2090**
600+	26+	86-102 *College Level Math*	**MATH 1150** **MATH 1140** (with Math Dept. Chair Approval)	
550+	24+	70-85 *College Level Math*	**MATH 1110** **MATH 1115** **MATH 1130** **CSCI 2611**	
		<70 *College Level Math*	*Student must take* *Elementary Algebra ACCUPLACER exam*	
500-540	22-23	90-120 *Elementary Algebra*	**MATH 1105**	
480-490	21	76-89 *Elementary Algebra*	**MATH 1105 +** **MATH 1106 Lab**	
440-470	18-20	39-75 *Elementary Algebra*	**MATH 1101**	
< 440	< 18	< 39 *Elementary Algebra*	**MATH 1101 +** **MATH 1102 Lab**	

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WRITING:

Incoming HPU students will be assigned a "writing placement category." The writing placement category determines in which writing classes the student may (and may not) enroll. The writing placement category is determined by at least one of the following:

1. SAT Critical Reading / SAT Critical Reading + Writing / ACT English scores

2. Accuplacer score (http://www.hpu.edu/StudentServices/CAS/Testing/Placement_Testing.html) Note: Students automatically placed into a writing course may still want to take a placement test to get into a higher level of writing.
3. Upon the successful completion of the either the International Bridge Program (IBP) or English Language Service (ELS) level 112 students will be placed into either WRI 1100 or into WRI 1100 ESL based on the instructor recommendation. This student may also enroll in the 1-credit writing lab course WRI 1101 based on a writing assessment administered and evaluated at the HPU Center for Academic

HPU Writing Placement Courses by SAT, ACT, & ACCUPLACER Exam Scores				
SAT Critical Reading Score	**SAT Critical Reading + Writing Score**	**ACT English Score**	**ACCUPLACER Writing Score**	**Writing Courses**
630+	1250+	28+		**Option to place out of WRI 1100 and take WRI 1200, unless course is required by major**
550+	1090+	24+	7-8	**WRI 1150**
500+	1020+	22+	6+	**WRI 1100** **JOUR 1100**
480-490	980-1010	21	5	**WRI 1100 + WRI 1101 Lab** **JOUR 1100 + WRI 1101 Lab**
< 480	< 980	< 21	< 5	**WRI 1050**

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4.25 Study Abroad Policy

Policy
Eligibility requirements for a Hawaii Pacific University student to study abroad are as follows:

Student must:

- have completed a minimum of 12 credits at HPU
- have a minimum cumulative GPA of 3.0.
- be in good academic and judicial standing (not on probation for student conduct issues)
- have declared at least one major
- have completed the HPU Study Abroad Application which includes a course grid verifying foreign coursework and HPU equivalents
- have completed the application for the host university or program abroad they choose
- have written an essay articulating goals for studying abroad

Students who do not meet one or more of the above requirements must meet with the Study Abroad Director to discuss the petition process for exceptions. All petitions are reviewed by the Study Abroad Advisor Committee.

If accepted into a Study Abroad Program, additional policies apply in order for the student to receive HPU credit for study abroad coursework:

Student must:

- gain approval for all courses intended to fill gen ed/major/minor requirements from the appropriate HPU academic department via the Course Approval Request Form. (CARF)
- be enrolled in a full course load while abroad. For a full course load overseas, a student will receive credit for 4-5 HPU classes per semester based on the Student Exchange (SE) course registration
- be enrolled in at least one course in the language of the host country during each semester abroad
- earn the equivalent of a C grade or better for all course work abroad. Any course taken pass/fail will not earn HPU credit

  -For Undergraduate students, SE courses are credit/no credit. As mentioned, students need to earn a minimum equivalent of a C to receive credit for the course but the grade received from the host institution will not be factored into the HPU cumulative GPA.

  -Graduate students will also need to earn the equivalent of a C or better; however, course grades will be factored into the HPU cumulative GPA

Procedure

Prior to the study abroad experience, Hawaii Pacific University student applicants for study abroad must follow the procedures below:

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- Obtain approval for all study abroad courses using the Study Abroad Course Approval Request Form (CARF) available on the website: www.hpu.edu/studyabroad
- Submit the HPU Study Abroad Application by the posted deadline:
  Fall Semester Deadline: Mid-March
  Spring Semester Deadline: Mid-October
- Submit the Host University or Study Abroad Program application. Deadlines will vary.
- Register with an HPU Academic Advisor for HPU SE courses as noted on the Course Registration Approval form

Following the study abroad experience, the student has two additional responsibilities:

- Ensure that the HPU Study Abroad and International Exchange Programs Office receives an official copy of the transcript from the Host University or Study Abroad Program.
- Complete the HPU Study Abroad Program Evaluation form upon conclusion of the study abroad experience

For additional details and complete Study Abroad Checklist, please check:
www.hpu.edu/studyabroad
Additional information about Study Abroad Policies and Procedures can also be found in the HPU Student Handbook: www.hpu.edu/Studentlife/student-handbook.pdf.
Study Abroad Forms and Supporting Information

Course Registration Request Form (CARF)
http://www.hpu.edu/Study_Abroad/Resources/Docs/Course%20Approval%20Request%20Form%20CARF

Course Equivalency List:
http://www.hpu.edu/Study_Abroad/Resources/Docs/Course%20Equivalency%20Handout

Department Liaison
List: http://www.hpu.edu/Study_Abroad/Resources/Docs/Dept%20Liaison%20List

Returnee Contact
List: http://www.hpu.edu/Study_Abroad/Resources/Docs/Returnee_ContactList

Scholarship
Information: http://www.hpu.edu/Study_Abroad/Resources/Scholarships/index.html

4.26 Transcript Evaluations and Transfer of Credit

Policy (from the HPU Academic Catalog 2011-13):

Transfer credit is awarded on a course-by-course basis or on the basis of an established articulation agreement between HPU and the transferring institution. Hawai‘i Pacific’s acceptance of credit

from other regionally accredited academic institutions of higher education is subject to the following conditions:

1. The transcript used is an official transcript received directly by Hawai‘i Pacific from the initiating institution;
2. The transferred course must be similar in scope, content, and competency to a Hawai‘i Pacific course;
3. The transferred credits must have at least a grade of C or better. Those credits applicable to graduate courses at Hawai‘i Pacific must have at least a grade of B or better;
4. Students from junior or community colleges are generally allowed to transfer up to 60 semester hours in academic subjects.
5. Any Transfer student seeking admission into the pre-nursing program, who was previously pursuing a nursing degree at another college/university must submit a Letter of Good Standing from the Dean of that college or university program prior to receiving an evaluation for possible transfer nursing credit by Hawai‘i Pacific University. The Letter of Good Standing must be an original letter, printed on the school’s letterhead, and include the dean’s or school official’s name, signature and legible contact information and sent directly to the Office of Admissions, Transfer Services.
6. All transfer students must complete at least 30 semester hours at Hawai‘i Pacific immediately preceding their graduation from the University (exception: SOC students).
7. Transfer students must complete at least 12 semester credits of major course work in residence in order to attain a major in a baccalaureate program, and 6 semester hours in the degree concentration for Associate degrees.
8. Military students may have their service-related training evaluated for credit by submitting their DD-295, DD-214, AARTS, CCAF, Coast Guard Institute, or SMART transcripts.

Students who wish to take a course at another accredited institution of higher education, and who plan to transfer such credit to Hawai‘i Pacific University, should consult with an academic advisor to determine if the course is transferable and how the course will be utilized towards the student’s degree program.

Procedure:

Transcript Evaluators in Admissions (all main campus students) and in Off- Campus/Military Campus Programs (all OCP/MCP students) carry out the administrative process of transferring the credit based on the conditions set forth above. Because of the expertise required in evaluating military service-related training, OCP/MCP Transcript Evaluators process military transcripts for the all students in the university.

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Chapter 5:

Faculty Support Procedures

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Chapter 5: Faculty Support Procedures

5.1 Center for Advancement of Innovative Teaching

CAIT provides a collaborative learning center that links people, projects, and technology in the pursuit of innovative ways to enhance lifelong learning for our students and our community.

CAIT offers presentations, trainings, workshops, individual consultations, and project management resources on topics ranging from course and assessment design to classroom management to instructional technology. It provides faculty orientation, an orientation checklist, faculty resources, a faculty newsletter, consultation services, and host ceremonies and awards that recognize achievement in teaching, scholarship, and service.

- CAIT can help you integrate new technologies and applications into your classroom.
- CAIT can help you design an effective and engaging course – face-to-face, hybrid, or online.
- CAIT's workshops and events can be found on our CAIT Events Calendar: http://cait.hpu.edu/events
- CAIT offers a series of self-paced online training modules on how to effectively teach online courses.
- CAIT wants to capture and share your best practices and strategies with others at HPU. We support many different ways to share knowledge – through workshops, presentations, *Po'okela* articles (our newsletter), blog posts, Knowledge Base resources, and more.
- CAIT manages a web-based Knowledge Base, a living, searchable database of resources on a variety of topics related to teaching and learning. http://cait.hpu.edu/kb
- CAIT's blog supports reflection and community-building, offering summaries of significant events and accomplishments. http://cait.hpu.edu

5.2 Faculty Support Center

The Faculty Support Center (FSC) is your resource for the following items and services:

- Mailboxes
- Copies
- Course Syllabi
- Tests
- Scantron sheets
- End of Semester Evaluations
- Class Cancellations (please call to cancel a class and a notice will be posted at the door)

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Locations:

Faculty Support Center – Downtown Campus (DC)
Model Progress Building (MP) Suite 441
1188 Fort Street Mall, Ste. 441
Honolulu, HI 96813

Hours of Operation:
Monday – Friday: 7am-8pm
Saturday: 7am-4pm
Closed Sunday and HPU Holidays
The opening hours during the winter and summer are shorter.

Phone Numbers:
FSC DC Direct Line 544-0233
FSC DC Manager Direct Line: 808-544-0281
DC Fax Number: 808-544-9306

E-Mail Address: fscdt@hpu.edu

Please note the processing time frame is two working days from the time the copy request is received. Same day requests will not be given priority.

Faculty Support Center - Hawaii Loa Campus (HLC)
45-045 Kamehameha Hwy, Room AC 118
Kaneohe, HI 96744

Hours of Operation:
Monday – Friday 7:30am – 6:00pm
Saturday: 8:15am – 1:15pm
Closed Sundays and HPU Holidays
The opening hours during summer and winter sessions are shorter.

Phone Numbers:
FSC HLC Direct Line: 808-236-5865
FSC HLC Manager Direct Line: 808-236-3514

E-Mail Addresses:
Email: fschlc@hpu.edu
Email exam copy requests to: jagudo@hpu.edu or dlarson@hpu.edu

5.3 Information Technology/Library Support for Faculty

Information Technology Services (ITS) at Hawaii Pacific University consists of the following departments: Computing Services (includes ITS Help Desk), the Computer Center on the downtown campus, the Educational Technology Center at the Hawaii Loa Campus, Information

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Technology Services Administration, Information Security, Multimedia Services, Network Services, and Web Services.

Information Technology Services support is provided to faculty on the Campus Pipeline Tab: Tech Support. Faculty are able to see the following on this web page: Current and scheduled outages, security alerts, technical announcements, archives of outages, and a Faculty/Staff Knowledge database of Frequently Asked Questions (FAQ) on this web page.

A Help Desk Chat is available, and the schedule for the Help Desk Chat is available on HPU pipeline under Tech Support. Faculty can also obtain Live Help Offline.

A Network/Wireless Control Panel is also displayed on this web page, showing the faculty member's current account status and opportunity to change his/her current network and gmail password. WiFi Status and Technical Resources, such as the HPU Cloud

Computing Services and Request Helpdesk Support are also available.

Additionally, Faculty can reach ITS support by calling: 808-566-2411 or e-mail: helpdesk@hpu.edu. The Chief Technology Officer can be reached at 808-544-9350. The Director of Computing Services can be reached at: 808-543-8003. The Information Security Officer can be reached at: 808-687-7034. The Manager of Multimedia Services can be reached at: 808-544-0850. The Director of Data Services can be reached at 566-2472. The Director of Network Services can be reached at: 356-5285. The Director of Web Services can be reached at 808-544-0209.

Library Support for Faculty

Library support at Hawaii Pacific University consists of two libraries: The Meader Library located at 1060 Bishop Street (808-544-0866), on the downtown campus, and the Atherton Library, located on the Hawaii Loa campus (808-236-3505).
The Meader Library has the following services/contact information: Circulation (808-566-2408), Periodical (808-544-0261), Reference (808-544-9330), and Technical (808-544-0880).

The Atherton Library has the following services/contact information: Circulation (808-236-3505) and Reference (808-236-3527).

Library Support for faculty can also be found on the Campus Pipeline Tab: Libraries.
Faculty are able to see and find the following on this web page: Research Tools, Announcements, General Information (including hours and personnel), Live Chat with a Reference Librarian, and Faculty Resources (including library instruction, database trials, audio visual materials, new books, and services for the Oceanic Institute.
Additional services include: Circulation services for faculty, interlibrary loan and document delivery services, periodical loan policy, collection evaluation and curriculum development support, and ordering library materials. Links to *Choice Reviews Online* and the *Chronicle of Higher Education* are also displayed.

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5.3.1 Interlibrary Loans

Detailed procedures for obtaining inter library loans are available under the libraries tab in campus pipeline and provided below.

Purpose

The purpose of Inter library Loan services is to obtain materials that are not readily available in the HPU Library collections. Interlibrary loan services are available to HPU students, faculty, and staff. It is recommended that you first utilize the print and electronic resources that are available in the HPU Libraries. Reference librarians should be consulted to help locate resources that may otherwise be overlooked.

The terms "inter library loan" and "document delivery" are used to describe the process of borrowing books and/or obtaining journal articles from other institutions.

Restrictions

Some materials are not available through Inter library loan. These include the following:

1. Textbooks, reference books, and audiovisual materials
2. Items that are fragile, oversized, or in a library's Special Collections
3. Dissertations

ILL Costs

1. In most instances, ILL items can be obtained for free. In the event a free option cannot be found, the fee is usually between $10.00- $20.00 per item.
2. On the ILL request forms, you can indicate how much you are willing to charge your Department for each item.
3. If the cost for an item exceeds your stated amount, Library staff will notify you and wait for your approval before proceeding with the ILL request.

Submitting ILL Requests

1. Online request forms are available via the **Libraries** tab in Pipeline.
2. Paper request forms are available at the Circulation or Reference desks at the Atherton and Meader Libraries.

Turnaround Time

1. Articles: In many cases articles are sent to us through email. However, because of Hawaii's location, it can take up to 1-2 weeks for printed articles to arrive in the mail.
2. Books can take up to 2-4 weeks to arrive.
3. Please plan ahead and allow yourself enough time for your requested materials to arrive.

Notification and Pick-up

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Library staff will send updates and pick-up notifications to the email address provided on the ILL request forms.

1. Unless otherwise noted, ILL requests can be picked up from either the Meader Library (downtown HPU campus) or Atherton Library (Hawai`i Loa campus).
2. Patrons are responsible for picking up ILL materials from the library.
3. ILL fees can be paid at the time of pick up (cash and checks are accepted).

Loan Periods, Renewals, and Recalls

The lending institution(s) has authority over the due dates, renewals, and restrictions for borrowed ILL items.

Loan periods vary depending on the institution lending the item. It is the users' responsibility to return the ILL materials by the due date, or to request renewals before the item is due. To request a renewal for your ILL item, please contact the Access Services Librarian at jrajkowski@hpu.edu or call (808) 544-0868.

1. Items may be recalled by the lending institution. Recalled materials should be returned promptly.
2. Renewals are determined by the lending institution and are not guaranteed.
3. Renewal requests are best made at least 7 days prior to the item's due date.
4. Returning ILL items on time helps HPU to maintain good relationships with other lending institutions.

Unclaimed Materials

1. Unclaimed books will be returned to the lending institution when the lending period has expired.
2. Unclaimed articles will be discarded on the last day of the semester.
3. Unpaid ILL fees will be added to your Department's University account.
4. Please remember to pick up your requested ILL materials. The Library and University dedicates time and resources to fulfill ILL requests, and unclaimed materials are a regrettable waste of those resources. The Libraries reserve the right to reject ILL requests from individuals who repeatedly neglect to pick up their ILL items.

Lost or Damaged Materials

1. Lost or damaged materials (water damage, theft, etc.) may incur a fee.
2. Lost or damaged material fees are the financial responsibility of the person who borrowed the item(s).
3. An item is considered lost if it is 28 days overdue. Lending institutions assess fees for their lost or damaged property.
4. Even if an item considered lost is returned, the lending institution may still assess a fee.

Termination and Reinstatement of Privileges

Interlibrary Loan services and HPU Library privileges may be terminated for the following reasons:

1. Failure to abide by ILL policies, or

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2. Non-payment for lost or damaged books.
3. Reinstatement of privileges will be considered upon all fees being paid in full.

Copyright Limitations
The HPU Libraries comply with the copyright law of the United States (Title 17, U.S. Code) which governs the making of photocopies or other reproductions of copyrighted material. CONTU (National Commission on New Technological Uses of Copyright Works) guidelines for copying from periodicals apply only to materials less than five years old. Under the ILL provision, up to five articles may be copied from a single periodical title per calendar year by Hawai`i Pacific University. Submission of an Interlibrary Loan Request Form, either online or in paper format, acknowledges compliance with "fair use practices" in regards to copyright limits.

For additional information, contact:
Access Services Librarian
Office: (808) 544-0868
You can also call or visit the Circulation desk on the 3rd floor of Meader Library. Circulation phone: (808) 544-0210.
If you are off-campus, you can use the *"Ask a Librarian"* option on Pipeline's **Libraries** tab.

5.4 International Faculty Support Policies and Procedures

Background

A curriculum that supports an international learning community and facilitates global learning outcomes benefits from both the exchange of students and faculty between countries. The HPU *International Student Services Office (ISS)* handles the sponsorship process for both students and faculty. This policy only addresses the sponsorship of international visiting faculty. Faculty who wish to teach abroad will find information on creating a study abroad program on the HPU website: www.hpu.edu/Study_Abroad/index.html
HPU is approved by the Department of Homeland Security and Department of State for four of the 14 categories of J1 exchange visitor programs:
1. Exchange -non degree student
2. Professor
3. Scholar
4. Short-term scholar (less than 6 months)

Policy

In recognizing that the sponsorship of international faculty is complex and regulated through both the home country and the United States Government Department of State, it is important for sponsors to carefully review the policies and procedures of the University prior to initiating any faculty sponsorship activity.

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International faculties are categorized as a visiting faculty (see 2013 Faculty Handbook). Hence, visiting faculty are sponsored or hired on a semester or annual basis for no more than two years and do not participate in faculty governance.

The University intellectual property rights policy will govern the export and control of international professor/scholar's access to and control of the data and/or technology from any projects or research conducted while at HPU. The policy will be administered by the HPU Office of Sponsored Projects.

Because HPU is liable/responsible for a visiting scholar's visa status, it is critical to account for any short or long-term leave. Any off-island leave must be approved prior to travel.

Procedures

1. Prior to Inviting Faculty—contact HPU designated RO/ARO
    a. Contact the university's U.S. Department of State designated Responsible Officer (RO) or Alternate Responsible Officer (ARO):
    Karen Michael Mikel – Dir. Intl Student Services- Responsible Officer (RO)
    Pei Chin Lee, International Student Advisor- Alternate Responsible Officer (ARO)
        i. to assist with the invitation process
        ii. to enter data into the SEVIS system, which helps generate a DS-2019 form, issuance of the DS 2019 form allows the visitor to get a J-1 visa from the US embassy in their home country
        iii. to monitor health insurance requirement and compliance

    b. Additional sponsorship information is found in several government resource for exchange visitors, program sponsors and hosts/employers on areas such as eligibilities, obligations and limitations:
        i. http://j1visa.state.gov/
        ii. SEVIS Fee Payment: https://www.fmjfee.com/i901fee/index.jsp
        iii. Visa application: http://travel.state.gov/visa/temp/types/types_1286.html

2. Documents Needed to Invite Faculty
    The *International Student Services Office* will work with the sponsoring department to understand the required documents for the DS 2019 issuance. These usually include:
    a. Completed HPU DS 2019 info for Professor/Scholar/Short Term Scholar
    b. Copy of passport (also dependents/spouse/children passports if accompanying faculty)
    c. Copy of signed HPU contract with exchange visitor (if applicable, generally signed by department chair)
    d. Invitation letter from HPU to professor/scholar- explain what exchange visitor will be doing at HPU: research, observe classroom, conduct seminar, etc.
    e. Proof of health insurance (required by Department of State- visitor must show proof of coverage within first week of arrival- please see required coverage outlined on form DS 2019 info for Professor/Scholar/Short Term Scholar) The current Kaiser

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Student plan at HPU meets the required Department of State health insurance coverage for J1 student/professor/scholar/short-term scholar.

3. International Sponsorship Understanding
    a. Establish an HPU contract or memo of understanding between the sponsoring department and the individual visiting faculty with mutual *performance expectations*.
    b. Describe in the above memo, or in a separate letter of understanding, the *funding* and *housing arrangement*.
    c. Acquire a letter of understanding from external or international sponsoring agency (when appropriate) to clarify adequacy of funding for the visiting faculty while at HPU.

4. Process to invite exchange professor/scholar/short-term scholar:
    a. Send inquiry to ISS office (information about the exchange visitor intent/plans at HPU; duration of program; will HPU be sponsoring the visitor, identify any already secured funding from organizations/scholarship).
    b. Send inquiry to the identified employee that handles exchange visitors in the HR office (if going to hire scholar/professor to teach start this process early, ISS office cannot issue form DS 2019 form without proof of funding/contract).
    c. ISS will provide inviting/host department with a list of required documents to issue DS 2019.
    d. Inviting/host department provide required documents to ISS: DS 2019 info for Professor/Scholar/Short Term Scholar, HPU contract if applicable, invitation letter, passport copy.
    e. ISS issues the form DS 2019 with welcome letter (5-10 business days).
    f. Inviting/host department collect form DS 2019 from ISS and mail documents to exchange visitor.
    g. Exchange visitor use the form DS 2019 info to pay SEVIS fee: A SEVIS fee of $180 will need to be paid prior to applying for J1 visa. The fee can be paid online at www.fmjfee.com/i901/fee. Print a copy of the receipt to show at the time of the visa application interview.
    h. Exchange visitor secures visa interview in home country with form DS 2019 and other supporting documents; applies for J1 visa.
    i. Exchange visitor must check in (call 808 356 5299 for check-in appointment) to ISS office within 1 week of arrival into the country to validate their J1 status in immigration database.
    j. Exchange visitor must provide proof of health insurance coverage and have a valid U.S. physical address (not office or P.O box address) at that time.
    k. Exchange visitors should be advised that the hiring process, work authorization (if applicable), staff ID, finding accommodation, social security card (can take up to 3 weeks to be issued), state ID and drivers' license will take time to complete; they should plan to arrive early. J1 can enter the country no earlier than 30 days before their program start date. Please get the hiring papers done before the exchange visitor arrives. Inform the visitor about the TB clearance and demonstrating proof of receiving MMR requirements.

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l. If the inviting department and exchange visitor would like to extend the program or change their category, please discuss this option with ISS because not all categories are eligible for extension and or category change. Category change is usually very difficult to get approval for. Exchange visitors are encourage to see ISS at least 3-4 months before their intent to extend, change category, transfer out to another university or other plans that affect immigration status.
m. Once the exchange visitors completed their program, they have 30 days grace period to remain in the country.

5. Health Insurance Required
Health insurance and specific immunizations are required for all USA visitors coming to Hawaii. Please visit the links on the HPU *International Student/Scholar Services*.
   a. http://www.hpu.edu/International_Student/Future_Student/International_admissions/Health_Insurance.html
   b. http://www.hpu.edu/International_Student/New_Student/Check-in.html
   c. Additional potential insurance provider: www.sevencorners.com, the seven corners site is used by the State Department programs and offers flexible choices, which can specify minimum coverage and so on.

6. Housing Availability
   a. Housing arrangements will be identified in the department memo of understanding for sponsoring the international faculty. Please acknowledge that the Hawaii housing situation is a challenge or specify sponsorship arrangements.
   b. No faculty housing is available but information to locate rentals is available on the international student page. http://www.hpu.edu/International_Student/Future_Student/International_admissions/Housing.html

7. Outside Employment for Family
Visa status will determine if dependents may work while accompanying the visiting faculty. Additional information related to outside employment for visitors and family members can be found on the ISS website.
http://www.hpu.edu/International_Student/Current_Student/International_Student_Services/Employment/Intl_Student_Employment_CSC.html#J-1

8. Visiting Scholar Temporary Absence
Written pre-approval of off-island leave must be obtained a minimum of 14 days in advance of travel. A Faculty Temporary Absence Form requires Department Chair and College Dean approvals for trips less than one week and Vice President for Academic Affairs approval for leave longer than one week.

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5.5 Office Space and Phones

Faculty Offices

Functional office space is an essential resource needed by faculty to meet their contractual obligations and fulfill their mission at the University. As such, all regular faculty must be provided with office space.

Office assignments are made by the Dean of the College. As with any major resource allocation, office assignments and any subsequent relocations must be justifiable. Moves that can significantly enhance the performance of faculty shall be accommodated, with the understanding that relocating faculty from one office space to another is generally disruptive and should normally be avoided. Priority for office assignments should be given to length of employment at HPU, rank, special needs (if any) and organizational effectiveness. Individual Colleges or Departments may develop their own procedures for providing faculty or staff input to the Dean.

Offices are provided with at least the basic amenities such as a desk, chair, phone, internet connection and computer equipment that meets the minimum University standards for each regular faculty member assigned an office. Offices are also cleaned and painted regularly by the University, especially before being reassigned to another faculty member.

Procedures

Faculty are informed of their office assignments through their Dean, in keeping with College or Department procedures, as appropriate.

Offices are cleaned and painted by the University on a regular schedule, similar to classrooms. Offices are also cleaned and painted prior to a change in occupancy. Any additional requests for cleaning and maintenance services should be sent to facilities@hpu.edu.

Workspace is available on a first-come, first-served basis on the Downtown campus in room MP 445 (enter through the Faculty Support Center) and in AC 121 on the Hawai`i Loa campus. Conference rooms at the Academic Center (Hawai`i Loa campus) may be booked through the Assistant to the Director of Facilities (236-3581) or the Hawai`i Loa faculty support center (fschlc@hpu.edu). The conference room in FS 200 (Downtown campus, 1166 Fort Street, room 200) can be reserved through the Assistant to the Dean, College of Humanities and Social Sciences (544-0228). The conference room in UB 800 (Downtown campus, 1164 Bishop Street, room 800) can also be reserved through the Administrative Assistant Academic Affairs (544-9328).

5.6 Supplies

Faculty members may obtain basic supplies such as pens, pencils, writing tablets, manila folders, and other items necessary to fulfill their teaching and other University-related duties. Classrooms are not automatically supplied with dry erase markers, so each faculty member should carry his/her own supply obtained from the University as described below.

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- Faculty at the Downtown Campus may obtain supplies at the Faculty Support Center at 1188 Fort Street.

- Faculty at the Hawai'i Loa campus may obtain supplies by completing a "Request for Supplies" form available in the Faculty Support Center located on the first floor of the Academic Center. A supply catalogue is also available as a reference. The completed "Request for Supplies" form should be submitted to Hawai'i Loa Room 119.

Nonstandard items (items which are outside of the normal inventory of supplies) may be requested through the Faculty Support Center. Upon approval of the request, there is a minimum two-week waiting period before the receipt of the item(s).

5.7 Support for Emeritus Faculty

In order to foster continued close ties to the University, certain privileges are made available to members of the faculty who are granted Emeritus status. Chapter IV.A.2.d of the Faculty Handbook describes the process by which emeritus status is granted. The privileges offered to emeritus faculty are not contractual and are subject to change by the University:

1. Eligibility to receive a University identification card, providing access (subject to current policies, restrictions, and fees applicable to Regular Faculty) to University libraries, recreational and athletic facilities, parking facilities, and cultural, athletic and educational events;
2. Eligibility for a University e-mail address and related privileges;
3. Eligibility to participate in the University's commencement exercises with appropriate academic dress;
4. Eligibility to take courses at the University, at the established tuition rate for employees; further, if a spouse or dependent is pursuing a degree program at the time emeritus status is granted, applicable tuition rate policies will continue in place until the completion of the degree program, or for four years after the faculty member retires, whichever comes first;
5. Lifetime listing in the University catalog as an emeritus faculty member.

As noted in the Faculty Handbook, emeritus faculty may be invited by the President to teach courses or work on other projects or activities beneficial to the University. Compensation for such activities, if any, will be determined by the President or his or her designee.

Emeritus faculty, including those who at any given time may be serving the University in some capacity, will not be members of the Faculty Assembly, and will not have voting rights in any department, college, or university-wide meeting. They may, however, be invited to attend and otherwise participate in such meetings with the permission, or at the invitation, of the relevant presiding officer.

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Emeritus status may be revoked for cause by the President under the formal procedure described in the Faculty Handbook, Section IV.I.2. Emeritus faculty whose status has been revoked will immediately lose all of the privileges that come with emeritus status.

5.8 Video-Audio Equipment

Policy

Recorded materials (Blu-Ray discs, DVD's, CD's' and video tapes, etc.) and associated equipment are an essential tool for teaching and scholarship. As such, they will be made available to faculty and existing collections will be maintained, expanded and updated as resources permit with opportunity for faculty input.

Procedures

Recorded materials are available through the HPU libraries. The procedures for using existing materials and requesting new materials are available under the Libraries tab in Campus Pipeline (http://www.hpu.edu/Libraries_HPU/Webpages/AV_Media_Materials.html).

Video and Audio equipment can be reserved by submitting an ITS work-order, available under the Resources tab in Campus Pipeline (http://apps.hpu.edu/webforms2/web/home/index/openformid/16)

Disposal of recorded materials from the media collection is only done after giving faculty ample opportunity for input and the chance to preserve existing materials they deem necessary to keep.

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Chapter 6:

Student Support Procedures

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Chapter 6: Student Support Procedures

6.1 Academic Support Services

6.1.1 Academic Advising

Hawaii Pacific University believes that academic advising is an integral part of a student's educational experience. As advisors, we are committed to preparing students for success in the academic setting by assisting students in the development of skills to define and achieve their academic goals. Our cohort advising model enables students to develop a collaborative working relationship with a professional advisor. Through mentorship, students are able to define and implement sound educational plans that are consistent with their personal values, goals, and career plans.

Academic Advising & Faculty Partnership

The partnership between faculty and academic advisors is a powerful force for student success. Faculty members are encouraged to alert advisors when they think a student needs academic advising or information about other useful resources on campus.

Advisors can also help promote new classes, special guest lectures, and other departmental activities for undergraduates.

Academic Concerns

If you are concerned about a student for academic reasons and want to let us know, you may report your concerns by emailing advising at advising@hpu.edu. You may also contact the student's academic advisor directly. Advisors' contact information is available here. This is often an important step as a student's performance in one class may jeopardize his/her academic eligibility for the next term and could be reflective of their performance in other courses.

We will gladly connect students with their academic advisor and appropriate services to provide proactive support.

Indicators that a student may be needing assistance:

- Students who are experiencing academic difficulties
- High ability students that appear to be unchallenged
- Students who are uncertain of educational goals and opportunities
- Students who need career advice and future direction

Once notified, the advisor will contact the student to share your concern and discuss strategies for improving academic performance. Students are always encouraged to work first with the course instructor. The advisor and student will attempt to identify areas of

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concern, and as appropriate, the advisor will refer the student to campus resources for academic, emotional and physical support.

Faculty can support our efforts to help students succeed in the classroom by participating in the following retention efforts:

- Early Alert
- Midterm Deficiency Report
- Submit names of students who have significant number of absences or have not shown up for class within the first two weeks to: Attendance@hpu.edu

Connect with us

Assistant Dean of Academic Advising at Downtown Campus
Phone: 808-544-1198

Director, Academic Advising at Hawai‘i Loa Campus
Phone: 808-236-3570

Director, Graduate Academic Advising
Phone: 808-566-2499

6.1.2 Center for Academic Success

The Center for Academic Success (CAS) provides free, individualized tutoring assistance to all registered HPU undergraduate and graduate students.

Locations

The Downtown CAS is located at 1060 Bishop Street (LB building), Floor 6. Tutoring is available in writing, modern languages, and math, accounting, business, science (MABS).

- This location operates on a walk-in, first-come first-served basis.
- Appointments are *only* taken for HPU students that work full-time, are active-duty military, have ADA status, or who want to see a Writing Mentor.

The Hawai'i Loa CAS is located in the Atherton Library at the Cooke Academic Center, Floor 3. Tutoring is offered in select subjects.

- Operates by appointment only. Students need to sign up in advance with the Tutoring Center in the Atherton Library to see a tutor. For more information, please contact the HLC Tutor Coordinator at (808) 236-5804.

Online tutoring: Smarthinking™ is a company HPU uses that provides online tutoring services to registered HPU students 24/7 through Pipeline.

- Real-time tutoring is available for a variety of subjects and students may submit questions or papers for review.
- Responses to submissions are usually returned within 24 hours.

- Click here for more information.

Contact Information
- Email: tutoring@hpu.edu
- Phone: (808) 544-9334

6.1.3 Counseling & Behavioral Health Services

The Counseling and Behavioral Health Services (CBHS) department provides *FREE and CONFIDENTIAL* counseling services to current registered HPU students. The CBHS staff provides the following counseling services
- *Individual*
- *Couples*
- *Family*
- *Crisis Intervention*
- *Consultation services for students, parents, faculty & staff*
- *Grief & Loss*

To schedule an appointment or for more information, please contact the Academic Advising & Behavioral Health office at either of the following:

- Main Contact Number: (808) 687-7076
- The CBHS department can also be reached by email at: counseling@hpu.edu

6.1.4 Students with Disabilities

Under the Rehabilitation Act of 1973 (Section 504), the Americans with Disabilities Act, Title III (Public Accommodations), and Title V (Employment), and the Hawai‘i Fair Employment Practice Law, Hawai‘i Pacific University does not discriminate against individuals with disabilities.

HPU will make reasonable accommodations in its policies, practices, and procedures in order to: 1) allow students with disabilities to benefit from the services and facilities offered by the University and 2) employ otherwise qualified individuals with disabilities who are able to do essential tasks of specific jobs. HPU will accommodate known disabilities, unless to do so would impose an undue hardship. This is interpreted to mean significant difficulty (fundamentally altering the nature of the services and facilities provided by the University) or expense.

Mission

To provide reasonable accommodations for our students, with qualifying disabilities, to access our programs and facilities, so they may prepare to live, work, and learn as active members of a global society.

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Services

The general categories for which accommodations are made include the following: facility accessibility, test-taking, assignments, and attendance. The following list are some of the more common accommodations that are provided: extended time in a quiet, undisturbed setting for taking an exam (proctored) ; double time at the tutoring center; note taking/note sharing; copies/ early distribution of handouts, when available; alternate format for test-taking; enlarged print; and accessible classrooms.

Fast Facts

- Your student will provide you with a letter for accommodations at the beginning of each semester. The letter will not list the disability, only the eligible accommodations.
- You should not ask the student what their disability is. The student may choose to disclose their disability on their own and/or even share it with their peers. If a student self-discloses this information, it does not release you from maintaining their confidential status.
- All students are strongly encouraged to meet with you to discuss their accommodations. Use this opportunity to freely discuss your expectations, as listed on your syllabus, and how the accommodation can satisfactorily meet both of your needs. You can discuss how the accommodation helps; get clarification early so there are no misunderstandings later in the semester!
- Making a reservation at CAS (Center for Academic Success) for a proctor and a quiet room for test taking is a process that requires early planning. Become familiar with the online form and plan ahead.
- Feel free to contact me if you have any questions about the accommodations, or if you would just like to discuss ideas on how to best support a listed accommodation.
- Visit our website and view the Faculty- FAQs: www.hpu.edu/StudentServices/StudentsWithDisabilities/faculty-FAQ.pdf
- Be open- minded and flexible. Consider Universal Course Design strategies. Visit: www.eeonline.org (Equity and Excellence in Higher Education) for more ideas.

Connect with us

Coordinator of Academic Advising and Student Support.

- 1164 Bishop Street, UB Bldg. Suite 123
- Phone: 544-1197
- Primary responsibilities include: determining a student's qualified disability and identifying suitable accommodations; faculty/ student liaison; and ongoing faculty and student support.

Assistant to the Coordinator of Academic Advising and Student Support.

- 1164 Bishop Street, UB Bldg., Suite 123
- Phone: 566-2406

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- Primary responsibilities: Providing administrative support to the Coordinator; maintaining note-taking program (schedules and distribution of notes); distribution and collection of mid-semester evaluations; and numerous other duties including providing general office support for the academic advising staff.

6.1.5 Veteran's Center

The Military/Veterans Center provides support to our nation's military community (military service members, eligible family members, Veterans and DoD Civilian personnel) in achieving their academic goals. It assists with obtaining educational benefits, academic advising, veteran program compliance/oversight, and Admissions/registration support. It liaises with other HPU departments and outside resources to achieve educational and professional success.

Services

- Advise new students on how to apply for admission to Hawaii Pacific University and how to apply for their GI Bill education benefits.
- Provide academic advising to active duty service members, veterans and their family members matriculating on the main campus.
- Advise new students on how the Military/Veterans Center will process their requests for education entitlements and certify their enrollments to the Department of Veterans Affairs (DVA).
- Advise students who may be having difficulty either in school or in personal matters. The Military/Veterans Center may direct them to HPU services or to other external agencies for assistance.

GI Bill Information

- Students using GI Bill education benefits must attend all courses, for which they are registered, for the entire term.
- The Post 9/11 GI Bill became effective on August 1st, 2009. Since then, the population of students using GI Bill benefits has grown significantly. The Military/Veterans Center administers all of the GI Bill educational programs.

Contact: Phone: 808-356-5222 *or* Email: va@hpu.edu

6.1.6 MCP Academic Advising

Academic Advising is available at each of HPU's military base sites :

Hickam
Office Location: Bldg. 2060, Hangar 2, Room #208
Office Hours: 0830-1730 HRS, Mon-Fri
Telephone: (808) 543-8053

Pearl Harbor

Office Location: Sub base, Bldg. 679, Second Deck, Room 207
Office Hours: 0830-1730 HRS, Mon-Fri
Telephone: (808) 687-7080

Marine Corps Base Hawaii-Kaneohe
Office Location: Bldg. 220, Floor Two
Office Hours: 0830-1730 HRS, Mon-Fri
Telephone: (808) 544-9313 or (808) 544-9314

Schofield Army Barracks
Office Location: Sgt. Yano Education Center, Room 216
Office Hours: 0830-1630 HRS, Mon-Fri
Telephone: (808) 687-7093

Tripler Army Medical Center
Office Location: 102 Jarrett White Road, Bldg 102, Rm 111
Office Hours: 0900-1700 Mon - Fri
Telephone: (808) 544-1493

Marine Corps Base Hawaii-Camp Smith
Office Location: Bldg. 1B, Third Floor, Room 302
Office Hours: 0900-1700 HRS, Mon-Fri
Telephone: (808) 487-1182

US Coast Guard Sand Island
Office Hours: By appointment only
Telephone: (808) 543-8056

For more information contact:

Assistant Dean of Student Affairs-On Base, Military Campus Programs
Phone: (808) 544-1101
http://www.hpu.edu/Military_Campus_Programs/index.html

6.2 Academic Integrity Policy

Academic dishonesty includes but is not limited to the following: cheating, plagiarism, facilitating academic dishonesty and fabrication.

Please see the Academic Integrity Policy and Procedures for Academic Dishonesty in the Student Handbook for a detailed description of the policies and procedures.

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6.3 Academic Grievance Procedures for Students

Procedures for students with academic grievances can be found in the Student Handbook under Academic Grievance Procedures for Students (http://www.hpu.edu/Studentlife/student-handbook.pdf):

Academic Grievance Procedures for Students

Students with individual grievances concerning unfair treatment in coursework must follow these procedures:

1. The student should first discuss and seek to resolve the problem with the instructor of the course.
2. The student may choose to consult with an academic advisor to clarify the problem and receive advice on the procedures available to them. The academic advisor may consult with the instructor, but has no authority to determine a resolution to the problem.
3. If these measures fail to resolve the problem, the student should consult with the appropriate department chair by submitting a letter describing the nature of the complaint and attach all supporting documents. These may include the syllabus outlining evaluation procedures, exams with grades, term paper assignments with grades, quizzes or any other pertinent supporting documents.
4. This information will be forwarded by the appropriate Dean to the instructor with a request for a reasonably prompt response.
5. When the response is returned, the Dean will send a copy to the student. If the student then wishes to request a hearing, his or her request must be in writing and filed with the Office of the Provost and his or her Dean within a reasonable time following the issuance of the grade in dispute.
5. If the Provost and academic Dean approve the petition, he or she will call the Academic Conduct Review Board. Members of the board are the Provost, a Dean chosen by the Provost, the student's College Dean, the Associate Vice President of Student Affairs, two or more faculty members appointed by the chair for each separate hearing, and the student body President or his or her delegate.
6. The recommendation of the Academic Conduct Review Board will be final. The Provost will notify the student of the board's decision within three working days. If the student's complaint is based on sexual harassment/sexual assault, see that section of the "Hawai'i Pacific University Student Handbook."

Note: If the student accused of academic dishonesty is nearing his/her graduation date, then this review process will be accelerated accordingly.

6.3.1 OCP/MCP

When an academic grievance occurs regarding a course offered through the OCP/MCP schedule, the Dean of OCP acts as the appropriate Dean referred to in the Academic Grievance Procedures for Students and may confer with the Dean of the academic discipline as needed.

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6.4 Add-Drop Policy

Any change, such as adding or dropping a class in a student's course schedule after the initial registration, requires approval by an academic advisor. Courses that cannot be dropped include: COM 1000-Career Skills; WRI 1100-Writing and Critical Analysis; WRI 1200-Argument, Research, and Writing.

Courses may be changed only during the periods indicated on the academic calendar in the HPU Academic Catalog or on the policy sheet provided at each registration. Students are assessed a fee for all Change of Program forms submitted.

6.5 Attendance/Census Date Policies

Faculty at HPU are not required to take attendance in their classes (for exception see "Census Day" below). Responsibility for class attendance rests with the student. However, because class attendance and course grade are demonstrably and positively related, the University advises students to attend *all* class sessions of courses in which they are enrolled. Punctual attendance at classes is expected.

Within these general guidelines, instructors may set their own policies regarding attendance (except where such policies may be superseded by the needs of the department and/or college. In these cases, attendance policies will be collectively formulated and agreed upon by the faculty, department chairs, and Dean or AVP of Off-Campus Programs as appropriate.)

Instructors are expected to establish and clearly communicate in the course syllabus attendance policies relevant to individual courses. Instructors should make clear, in the course syllabus, if any component of the grade is based on attendance and/or participation, and whether or not the opportunity to make up missed work, including assignments, quizzes, examinations and so forth, will be provided. The opportunity to make up work is considered a privilege, not a right.

It is recognized that occasionally it may be necessary for a student to be absent from a scheduled course activity for personal reasons beyond his/her control (e.g., illness, family emergency, bereavement, etc.). The University expects each student to be responsible for class-related work missed as a result of an unavoidable absence; this work may be made up at the discretion of the instructor.

Regardless of the reason for the absence, students are responsible for learning what happened in class. Students who anticipate missing one or more class periods are advised to contact the instructor ahead of time, just as they should contact their instructor as soon as possible after an absence. Students are responsible for monitoring their absences during the term.

Policy on absence due to co-curricular activities:

Because regular class attendance is fundamental to a student's educational experience and a student's involvement in co-curricular activities should augment his or her university experience, not jeopardize it, students should schedule classes so that their co-curricular activities do not interfere with them. Each student involved in co-curricular activities should present a copy of

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his or her co-curricular schedule to appropriate faculty at the earliest date possible, preferably during the first week of the semester. If it is noted that university sponsored events will cause a student to miss class during the semester, the student and faculty member should meet to discuss the implications of the absences in that particular course. They should work together so that, to the greatest extent possible, accommodations may be made to allow the student to make up missed class work. If such accommodations cannot be made, the student and/or faculty member may seek administrative assistance in resolving the matter (i.e. schedule change, course substitution or independent study). Students with scheduled absences due to military duty, jury duty, or other mandatory obligations should be permitted to make up work in the same manner as students who miss class because of co-curricular activities.

Online Courses and Attendance:

Online courses at HPU are designed to be highly interactive and collaborative, as authentic learning takes place within a social context. To help ensure an effective learning experience, all students in online courses are expected to participate actively on a regular basis. Participation is defined as "submitting required work as assigned; being an active contributor and responder to fellow students and the instructor in a timely basis, as set forth by online discussion guidelines in each course." Failure to participate may be counted as an absence. If technical circumstances prevent a student from entering the course site for a period of time, it is the student's responsibility to contact the instructor in a timely manner if the student wishes to receive credit for any missed online activities.

Online courses are expected, at a minimum, to have weekly mechanisms for student participation that can be documented.

NOTE: The above represents university attendance standards. Each college may enforce additional attendance policies for certain courses; please consult your college handbook or the individual course syllabus/attendance policy for more information.

Procedures

1. Instructors must state an attendance policy in their course syllabus and clearly state related procedures on grading and make-up work at the beginning of the course.
2. When allowed by the instructor, students are responsible for obtaining missed materials, and arranging for make-up work.
3. Students are responsible for notifying their instructor of any situation that causes the student to miss class.
4. Students must submit an acceptable document for absence/s for which accommodation is requested.
5. Refer to policy 6.13 for Military Duty for Students policy for more information.

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6.6 Campus Security – Required Disclosure of Campus Security Issues (Cleary Act)

Reporting Crimes and Emergencies

For non-emergencies contact the campus security at (808) 236-3515 (Windward) or (808) 753-7304 (Downtown) or 911 for emergencies. Note: All those using HPU landlines must dial #-9-1-1. Whenever possible, the actual victim or witness of the crime should call the police directly. Firsthand information is always more accurate and complete. If someone merely gives you information and leaves, please include this information. There are Emergency Phones on the first or second floor of each Residence Hall; these phones are directly linked to HPU Security at the Front Gate and also call #-9-1-1. The HPU Front Gate is staffed 24-hours a day by a trained security officer. The Front Gate Security Officer will dispatch the appropriate Security Officer or contact HPD, firefighters or paramedics/EMTs to handle the call if necessary.

For details on crime prevention, reporting policy and procedures please see the Student Handbook (*provide link*).

6.7 Code of Student Conduct

Students are expected to abide by the University's Code of Student Conduct which can be found in detail in the Student Handbook.

6.8 Concurrent Graduate/Undergraduate Student Performance Expectations

When undergraduate and graduate courses are offered concurrently, graduate and undergraduate students attending a course cross-listed for graduate and undergraduate credit are evaluated in accordance with their status (undergraduate or graduate) and are expected to meet the standards appropriate to their level.

All graduate level courses are guided by appropriate level educational objectives and differ from undergraduate classes by greater depth of study and increased demands on student intellectual or creative capacity. More time is expected to be devoted to study at the graduate level, typically over three hours of study for every hour in class. (At the undergraduate level those expectations are 1.5 to 2 hours for every hour of class time at the 1000 and 2000 levels, 2 to 2.5 hours for every hour of class time at the 3000 level and 2.5-3 hours for every hour of class time at the 4000 level) Graduate level course requirements call for use of primary sources, current periodicals, and other literature appropriate to research and the professional education objectives of the course.

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6.9 Confidentiality of Academic Records (FERPA)

Notification of Student Rights

The Family Educational Rights and Privacy Act of 1974 (FERPA) affords students certain rights with respect to their education records. These rights are: *(1) The right to inspect and review student education records within 45 days of the day the University receives a request for access.*

Students should submit to the University Registrar or appropriate official, a written, dated, and signed request that identifies the records(s) they wish to inspect (including the requestor's full name, date of birth, and student identification number). The University official will make arrangements for access and notify the student of the time and place where the records may be inspected. If the records are not maintained by the University official to whom the request was submitted, that official shall advise the student of the correct official to whom the request should be addressed.

(2) The right to request the amendment of student education records that a student believes is inaccurate, misleading, or otherwise in violation of his or her right to privacy.
Students who wish to ask the University to amend a record should write the University official responsible for the record, clearly identify the part of the record they want changed, and specify why it should be changed.

If the University decides not to amend the record as requested by the student, the University will notify the student in writing of the decision and advise the student of his or her right to a hearing regarding the request for amendment. Additional information regarding the hearing procedures will be provided to the student when notified of the right to a hearing.

(3) The right to provide written consent before the University discloses personally identifiable information contained in student education records, except to the extent that FERPA authorizes disclosure without consent.

The University discloses education records without a student's prior written consent under the FERPA exception for disclosure to school officials with legitimate educational interests. A school official is defined as a person employed by the University in an administrative, supervisory, academic or research, or support staff position; a person or company with whom the University has contracted as its agent to provide a service instead of using University employees or officials (such as an attorney, auditor, or collection agent); a person serving on the Board of Trustees; or a student serving on an official committee, such as a disciplinary or grievance committee, or assisting another school official in performing his or her tasks. A school official has a legitimate educational interest if the official needs to review an education record in order to fulfill his or her professional responsibility.

For more information please refer to the Student Handbook.

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6.10 Deficiency Reporting

Students need to have formative evaluation from faculty throughout the term. Students should be evaluated by midterm so that there is time to contact those who are doing poorly and to help them improve. Before the midterm date, faculty should have an indication on the academic performance and/or attendance of their students. The Registrar's Office will send deficiency letters to students who are assigned a "D" code in Campus Pipeline. Deficiency letters will be mailed to Students named on the lists will be sent a letter alerting them of their unsatisfactory performance and/or attendance and suggesting that they contact their instructor and academic advisor to discuss their work. Beginning level English and math students who are having difficulty may be referred to the Tutoring Center.

Faculty are encouraged to notify students promptly of their unsatisfactory performance at any point in the term.

During the course of the semester, the University's Veterans' Coordinator as well as the Athletic Department may request attendance/performance reports regarding certain students.

6.11 General Petition

Students submit a General Petition form to an Academic Advisor when they seek an exception to current academic policies. Common situations include, but are not limited to, the following: attending University part-time, requesting a leave of absence or course substitution, taking more than 18 semester credits in a given term. In all cases, students are referred to an academic advisor who will assist them in completing the form. Depending upon the nature of the request, review and approval of the form will be performed by the academic advisor and/or the Department Chair, College Dean, or Dean of Off-Campus Programs.

6.12 Grades

Please refer to the HPU Academic Catalog for details on grading and grade point average (GPA).

6.13 Military Duty for Students

Policy

Students who miss class due to military duty must be provided reasonable accommodations to make-up missed class work.

Procedures

The student and faculty member should meet to discuss the implications of the absences in that particular course. However, military duty is often emergent. Faculty may ask students to provide

military orders or a note from their supervisor for verification. The student and the faculty member should work together so that, to the greatest extent possible, accommodations may be made to allow the student to make up missed class work. If such accommodations cannot be made, the student and or faculty member may seek administrative assistance in resolving the matter (i.e. schedule change, course substitution, or independent study). If the make-up time needed goes past the end of the term, the faculty member should consider using an Incomplete "I" grade as appropriate to allow reasonable time to finish.

6.14 Social Networking Policy for Students

The University recognizes that social networking technology is popular and can be used to enhance communications with target audiences. Social networking also has the potential to present unique challenges in educational settings. It opens the door for pitfalls with serious ramifications related to professionalism, confidentiality, and boundary violations. This guideline provides students with an overview of suitable practices while on social networking sites (e.g. Facebook, YouTube, LinkedIn, Twitter, Blogger, MySpace, Flickr, etc.). While the policy discourages inappropriate social network use, the intent is also to preserve students' freedom of speech.

Although the social media sites are outside the direct control of the University, the University maintains an interest in how the University community is portrayed on them. The intent is to foster a virtual space where appropriate use of technology enhances the University community. Students using the various websites must be aware of site regulations and federal or state statutes governing social media postings. Students should carefully read the terms and conditions set forth by each website. Students are solely responsible for the content of their sites. Violations of any site regulations or statues may expose the offender to criminal and civil liability; to punishment for violations which may include fines and imprisonment; and to adverse academic actions resulting in a disciplinary action which may range from a letter of reprimand, to probation, or to dismissal from HPU.

Terms and conditions to be aware of that are common to many networking services prohibit the following actions (some of which may be illegal). Users may not:

- represent themselves as another person.
- display vulgar or obscene language.
- display language that implies directive to action or creates disrespect for protected individuals or groups based on age, race, gender, religion, ethnicity, sexuality, or abilities.
- display photographs that implies directive to action or creates disrespect for protected individuals or groups based on age, race, gender, religion, ethnicity, sexuality, or abilities.
- display photographs that may reasonably be interpreted as representing or condoning irresponsible use of alcohol, substance abuse, or sexual promiscuity.
- display language, videos or photographs that are intended to be harassment, defamatory, or bullying.

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- post material that may be deemed to be criminal; invasive of another's privacy; or infringing of copyright.
- post classroom activities (e.g. lectures, recordings, guest speakers, student presentations, handouts, class content, etc.) without the written permission of the instructor(s) and the other involved parties.

When using these social networking sites, students are strongly encouraged to present themselves in a mature, responsible, and professional manner. Discourse should always be civil and respectful. Please be aware that no privatization measure is perfect and that undesignated persons may still gain access to your networking site. The posting of inappropriate material may subject students to criminal and civil penalties. Once an item is posted on a network site, it may not be easily removed. Sites vary in who and how they can be accessed. Others are completely open to the public (You Tube). Note that it has become a common practice for future employers to review these network sites when considering potential candidates for employment. Wisdom dictates that students concern themselves with a future image that represents them positively.

6.15 Student Complaint Procedure

Complaints that involve allegations of unfair treatment in coursework or other academic concerns are covered by the *Academic Grievance Procedures for Students* of the HPU Student Handbook. Complaints of a nonacademic nature may be initiated by any student of Hawai'i Pacific University to the appropriate authorities, including but not limited to Vice Presidents, Academic Deans, Dean of Students, Directors, and other University Administrators.

Formal complaints must be in writing, dated, signed by the complainant, and addressed to the Vice President of Academic Affairs who, upon receipt, will forward the complaint to the appropriate HPU authority. Please note that only written, dated, and signed submissions will be processed; verbal and electronic submissions will not be processed. Response by the appropriate authority will be sent in writing to the complainant within 30 days from the date the written complaint is received by the Vice President of Academic Affairs. Depending on the nature of the complaint, interviews, statements, informal or formal hearings may be required. The complainant has the right to redirect the complaint to the Vice President of Academic Affairs for further action if he or she is not satisfied with the initial response from the appropriate HPU authority.

Every effort will be made to resolve the complaint in a confidential manner and as expeditiously as possible; however, complete confidentiality cannot always be guaranteed. In the process of handling complaints, certain information may be distributed to appropriate administrators, respondents, and/or witnesses in order to conduct fact finding, institute remedial actions, or to informally resolve the complaint. Records of formal complaints will be kept for a minimum of five years.

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Chapter 7:

Benefits for Regular Faculty

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Chapter 7: Benefits for Regular Faculty

7.1 Background

At Hawaii Pacific University, we're pleased to offer comprehensive, competitive benefits to eligible faculty and their eligible dependents. From healthcare to leaves, our aim is to help HPU faculty members enjoy happy and healthy lifestyles, while maintaining a good work-life balance.

This section contains explanations of relevant benefits pertaining to Regular Faculty that may include: Career Faculty, Career-track Faculty, Tenured Faculty, Endowed (Named Faculty) and Part-time Faculty. Benefits are subject to modification, change and/or discontinuation. More details on these or any other benefits may be provided by Human Resources upon request.

7.2 Health and Dental Insurance

HPU provides health care benefits to eligible* Regular Faculty. Health care benefits include coverage for medical, dental, vision and prescriptions. Regular Faculty may elect to participate in one of the plans currently offered by the University if they are employed half time or more. The Human Resources Department will provide Faculty members with information on the available plans.

The monthly premium for health insurance coverage is paid by the Faculty member and the University. Premiums will vary based on the type of plan chosen, family size and as required by law. Human Resources will provide a complete list of plan options and costs.

If you are already covered as a dependent or you are already receiving health care under another medical plan, you have the option to waive health insurance benefits. Faculty waiving coverage must sign a waiver form each year. For more information, please contact Human Resources.

7.3 Flexible Spending Plans

FSAs enable Regular Faculty members to redirect a designated portion of their salary to provide for reimbursement of dependent care and unreimbursed medical expenses. Taxable income is calculated after the elected amounts for reimbursement accounts are deducted from salary. Participants do not pay taxes on redirected amounts. Faculty members interested in participating must complete a Salary Redirection Agreement during eligible enrollment periods.

7.4 Retirement Plans

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Group Retirement Plan (GRA): All Regular Faculty will be enrolled in the University's retirement plan if you are at least age 21 and upon completion of one (1) full year of service. The Human Resources Department will notify you when you become eligible for this benefit.

The University currently contributes an amount equal to 11% of annual salary to each eligible Regular Faculty member's retirement account. The University reserves the right to change the contribution amount at its discretion.

Employer contributions are vested according to a vesting schedule as defined in the Summary Plan Description. Please refer to the Summary Plan Description or contact the Human Resources Department for more information.

Voluntary Supplemental Retirement (SRA): Any Regular Faculty member may voluntarily contribute by deferring a portion of their salary under a Supplemental Retirement (SRA) plan. The contributions are deferred "pre-tax". All contributions are immediately vested.

Further information regarding retirement plans may be obtained from the Human Resources Department or refer to the Summary Plan Description.

7.5 Other Benefits

7.5.1 TUITION WAIVER PROGRAM

Regular Faculty are eligible for tuition waivers, for themselves or their family members (spouse or eligible dependent children), beginning at the start of the first term after completion of three (3) months of full-time, continuous employment with HPU. The amount of the tuition waiver will vary depending upon the class taken, and whether the student is a faculty member or a family member of a faculty member. Furthermore, tuition waivers do not include fees, or the costs of books and supplies.

Eligible Faculty wishing to obtain a tuition waiver must submit a written Tuition Waiver Application form to their Dean. There may be tax implications to faculty members who have tuition waivers. Please refer to the Tuition Waver Policy for details and consult your tax advisor.

For more information about the Program, copies of the forms, please contact the Human Resources Department.

7.5.2 TEMPORARY DISABILITY INSURANCE (TDI)

TDI benefits are available to Regular Faculty members who have worked a minimum of 14 weeks at 20 or more hours per week. The benefit covers eligible faculty members who become disabled as a result of a non-work related illness or injury, including pregnancy, childbirth or related medical conditions. The eligible faculty member is entitled to benefit payments for the

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entire period of disability beginning on the eighth (8th) day of disability and continuing up to a maximum of twenty-six (26) weeks. Benefits consist of a partial wage replacement during the period of your disability but do not include reimbursement for medical care. HPU pays the total cost of providing TDI benefits. Forms to submit a claim are available in the Human Resources Department.

7.5.3 LONG TERM DISABILITY (LTD)

LTD benefits are available to eligible Regular Faculty who become disabled as a result of illness or injury. Regular Faculty members are eligible for the plan if they are scheduled to work more than 30 hours per week. Coverage begins on the first of the month following completion of 90-days of employment. A faculty member is entitled to benefit payments for the entire disability period (by approval from the insurance carrier) after a 180 day waiting period and continuing through the disability period or until age 65 whichever comes first. The benefits are equal to 60% of monthly salary up to a maximum of $1000. The cost of providing basic LTD benefits is paid entirely by HPU. Eligible Regular Faculty members have the option to purchase additional LTD coverage through payroll deduction and subject to approval by the LTD vendor.

7.5.4 WORKERS' COMPENSATION INSURANCE

Regular Faculty members who suffer a work-related illness or injury are eligible to receive Workers' Compensation benefits. Benefits include a partial wage replacement and payment of certain medical costs associated with the work-related illness or injury. The cost of providing workers' compensation benefits is paid entirely by HPU.

If you are injured while on duty, you must immediately report the incident to your supervisor. Your supervisor must submit an incident report, in writing, to the Human Resources Department as soon as possible after the incident but no later than at the end of the work day.

7.5.5 UNEMPLOYMENT COMPENSATION

HPU provides for the payment of unemployment compensation insurance. Eligibility for unemployment insurance benefits is determined by state law. The cost of providing unemployment compensation benefits is paid entirely by HPU.

7.5.6 GROUP LIFE INSURANCE (TERM AND SUPPLEMENTAL)

Eligible Regular Faculty members are covered by a University-paid group term life insurance policy, which includes benefits for accidental death and dismemberment. Regular Faculty members are eligible for the coverage if they work more than 30 hours a week. Coverage begins on the first of the month following completion of 90-days of employment, and is based on 1.5 times the Faculty member's annual base salary, with a minimum coverage of $20,000 and a maximum coverage of $100,000. Eligible Regular Faculty members may purchase additional coverage for themselves and family members during the annual open enrollment periods.

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HPU also provides insurance coverage for Faculty members in the event of death or dismemberment during the course of normal business activities or during business travel.

For more information on these insurance policies, please see the Human Resources Department or refer to the summary of benefits.

7.5.7 EMPLOYEE ASSISTANCE PROGRAM

The University has established an Employee Assistance Program ("EAP). The EAP is a confidential program designed to assist Faculty and their dependents with personal problems by helping the faculty member to resolve the issue or referring them on to appropriate resources. The cost of providing this benefit is paid entirely by HPU.

7.5.8 TRANSPORTATION BENEFITS

HPU offers Regular Faculty members the ability to enroll in transportation benefits. Transportation benefits allow faculty members to deduct transit costs from their paycheck pre-tax. Faculty may ride the HPU shuttle between downtown Honolulu and Hawaii Loa Campus on a space available basis. HPU Faculty identification is required to board the shuttle. For more information, contact the Human Resources Department.

7.6 University Recognized Holidays

During University-recognized holidays all normal business operations will be closed and no classes will be offered.

New Year's Day	Kamehameha Day
Martin Luther King Day	Independence Day
Presidents Day	Labor Day
Kuhio Day	Veterans Day
Spring Break Day	Thanksgiving Day
Good Friday	Day after Thanksgiving
Memorial Day	Christmas Observance – two days

Note that offices on the Military Campus Program may have a different holiday schedule due to military requirements.

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7.7 Vacation

The following Regular Faculty may be entitled to vacation leave based on the length of their contract term as outlined below:

12 month contract Regular Faculty	3 weeks
11 month contract Regular Faculty	2 weeks

Vacation time does not carry over from year to year and will be forfeited upon termination of employment. For additional information about policies and procedures regarding faculty absences, please see policy 4.4.12.

7.8 Sick Leave

Regular Faculty members are entitled to up to 10 days of paid sick time per year for use in the case of long-term illnesses or injuries longer than 3 days. Sick leave does not carry over from year to year and will be forfeited upon termination of employment. When feasible, Faculty members should make appropriate arrangement for teaching coverage.

Sick leave may be used to supplement any TDI or workers' compensation benefits you may be entitled to; provided, however, the total amount of pay does not exceed what you would receive in your normally scheduled work days.

Medical Certification: Faculty may be required to present medical certification from a physician or other evidence acceptable to HPU, certifying the absence was due to illness or injury. Failure to comply with this procedure, except in emergencies that are beyond their control, will result in a denial of your sick leave request and/or disciplinary action.

7.9 Leaves of Absence

HPU provides several types of approved leaves of absence. The following summaries are intended to be brief descriptions; faculty members should contact their chair or human resources for in-depth information about approved leaves. HPU's intent is to comply with all federal and state law. As updates are made in any state or federal law, those provisions will replace any information outlined below.

Notification: For all of the leaves identified below unless otherwise identified, Faculty must submit a written request for leave of absence to the Dean of the college. Except for emergencies or unforeseeable situations, the request must be submitted as far in advance as possible.

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Faculty members not eligible for leaves of absences in this section may be granted an unpaid leave of absence for extenuating circumstances with written approval by the Dean and Provost, and in consultation with Human Resources. HPU reserves the right to require Faculty to submit proper documentation for any leaves of absence.

Return to work: To accommodate course load planning, faculty members should provide notice of intent to return to work as far in advance as possible. Upon return from unpaid leave of absence, every effort will be made to reinstate teaching load equal to previous status. Faculty must notify their department chair or dean if they unable to return to work at the end of the specified leave period. Failure to provide such notification may be regarded as a resignation.

If you have taken medical-related leave because of your own serious health condition, including pregnancy, childbirth or related medical conditions, you may be asked to provide a fitness-for-duty certification from your health care provider that addresses your ability to perform the essential functions of your position. Faculty members who fail to provide the required medical certificate will not be allowed to resume work until the certificate is provided.

Faculty may not engage in other gainful employment during a leave of absence without the University's prior approval. Faculty who violate this policy may be subject to disciplinary action.

7.9.1 Medical-Related Leaves

Health and Other Benefits during medical-related Leave

During an approved family or medical leave, HPU will continue your participation in HPU's health plan as if you continued to be actively employed. If paid leave is substituted for unpaid leave, HPU will deduct your portion of the monthly premiums for the health plan, if any, through payroll deduction. If your leave is unpaid, you must pay your portion of the monthly premiums immediately upon return of your health leave. Failure to pay your share of the monthly premium on a timely basis will result in an arrears balance that will be paid by payroll deduction once you return to work. If you elect not to return to work at the end of your leave the balance of your account is due immediately. In addition, you may be required to reimburse HPU for the cost of the premiums paid by HPU for maintaining your health care coverage during your leave unless the reason you cannot return to work is due to a disability, serious health condition, serious injury or illness of a covered service member, or other circumstances beyond your control.

If you are on an approved leave, you may also continue participating in any HPU benefit plans you have enrolled in at your own expense Furthermore, you will continue accumulating service credits during your leave which may be used to calculate your benefits.

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7.9.2 Family and Medical Leave Act

Faculty members who have met the federal eligibility criteria of completing one (1) year of service with HPU and who have worked a minimum of 1,250 hours of service during the past twelve (12) months may take up to twelve (12) weeks of unpaid Family and Medical Leave Act ("FMLA") leave each calendar year (the “leave year” or “year”). However, if the leave is for military caregiver purposes (as defined below), the Faculty member may take up to twenty-six (26) workweeks of leave during a single 12-month period, which begins on the first day of military caregiver leave taken. Military caregiver leave, when combined with other FMLA-qualifying leave, may not exceed twenty-six (26) weeks in a single 12-month period.

FMLA leave may be taken by an eligible Faculty member for any of the following reasons:

- For the birth of a child and to care for the newborn child;
- For placement with the Faculty member of a child for adoption or foster care;
- To care for the Faculty member’s spouse, child or parent with a serious health condition;
- Because of a serious health condition that makes the Faculty member unable to perform the functions of his/her job;
- To handle a “qualifying exigency” arising because the Faculty member’s spouse, son, daughter or parent is a member of the National Guard or Reserves who is under a call or order to active duty (or has been notified of an impending call or order) in support of a contingency operation ("military member"); and/or
- To care for the Faculty member’s spouse, child, parent or “next of kin” who is a covered service member, defined as a current member of the Armed Forces, including National Guard or Reserves, and those on the temporary disability retired list in an outpatient status, with a serious injury or illness incurred in the line of duty while on active duty for which he/she is undergoing medical treatment, recuperation or therapy and is medically unfit to perform his/her duties (“military caregiver leave”).

Spouses: If both spouses are employed by HPU special stipulations apply. Please contact Human Resources for additional information.

Intermittent and Reduced Schedule Leave: Leave may be taken intermittently or on a reduced leave schedule under certain circumstances. For more information, please contact Human Resources.

Substitution of Sick Leave: Family and medical leaves are unpaid. However:

- If your leave is for family care purposes (including service member family leave) and the leave is not covered by HFLL, you will first be required to substitute any paid sick leave you may have accumulated, for any otherwise unpaid FMLA leave.

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- If your leave is for family care purposes (including service member family leave) and the leave is covered by HFLL, you have the option to substitute any paid sick leave you may have accumulated (up to a maximum of ten (10) days of sick leave per year), for any otherwise unpaid leave.
- If your leave is due to your own serious health condition, any paid sick leave you have accumulated will be substituted for otherwise unpaid leave.
- The substitution of paid leave time for unpaid leave time does not extend your maximum allowable family or medical leave.

7.9.3 Pregnancy Disability Leave

Faculty members who are disabled as a result of pregnancy, childbirth or related medical conditions are eligible for leave for a reasonable period of time, as certified by the Faculty member's physician. At the conclusion of the pregnancy disability leave, the Faculty member will be returned to the same or a comparable job, with full accumulation of service credits and privileges.

For faculty memberss who are eligible for Family and Medical Leave Act ("FMLA") leave, the period of pregnancy disability leave will run concurrently with FMLA leave.

During an approved pregnancy disability leave, HPU will continue your participation in the University's benefit plans as if you continued to be actively employed.

7.9.4 Hawai'i Family Leave Law

Faculty members who have completed six (6) consecutive months of service with HPU are eligible to take up to four (4) weeks of leave each calendar year for any of the following reasons:

- For the birth of a child and to care for the newborn child;
- For placement with the Faculty member of a child for adoption;
- To care for the Faculty member's spouse, reciprocal beneficiary, child (natural, step, adopted or foster), legal ward, parent (natural, step, adopted, foster or in-law), legal guardian, grandparent, or grandparent-in-law with a serious health condition.

For faculty members who are eligible for Family and Medical Leave Act ("FMLA") leave, and Hawai'i Family Leave Law (HFLL) they will run concurrently unless FMLA is due to your own serious health condition.

Extension of Medical-Related Leave: If you are disabled by sickness, accident, pregnancy, childbirth or a related medical condition and you are disabled for longer than twelve (12) weeks, you may submit a request to extend your leave (with appropriate documentation). Requests for extensions should be submitted to your supervisor at least 10 working days in advance of the requested extension (except in emergency situations) and must be accompanied by a medical

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certificate verifying the continued disability. If approved, service credits will be continued during the extended leave for disability. Your benefits will be continued only to the extent required by law.

If you have any questions about family or medical leave, please contact the Human Resources Department. Additional information is also provided on the posters located on the University bulletin boards.

7.10 Other Types of Leave

7.10.1 VICTIM'S LEAVE

If you or your child (under age 18) is a victim of domestic violence or sexual violence, and you have been employed with HPU for six (6) or more months, you may be eligible for leave without pay to either:

- Seek medical attention;
- Obtain services from a victim services organization;
- Obtain psychological or other counseling;
- Temporarily or permanently relocate;
- Take legal action (including preparation or participation in court proceedings); or
- Take other actions to enhance your health and safety, the health and safety of your children, and/or the health and safety of your coworkers and business associates.

Request for Leave: Your request for Victim's Leave should first be verbally communicated to your supervisor. If your supervisor is not available, contact the next available level of management. Additional forms and documentation may be required. Please contact Human Resources for additional information.

7.10.2 LEAVE FOR JURY OR WITNESS DUTY

Jury Duty: Regular Faculty will be granted a leave of absence with pay if they are summoned to serve as a juror.

Summoned Witnesses: Faculty members summoned to serve as a witness for or on behalf of HPU will be entitled to take leave with full pay.

If you are serving as a juror, contact Human Resources for information about procedures.

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7.10.3 LEAVE FOR MILITARY SERVICE

HPU does not discriminate in employment against persons who have applied to perform, or have an obligation to perform service in the uniformed services of the United States, including the National Guard, the Reserves and the commissioned corps of the Public Health Service.

HPU will provide its Faculty the benefits and rights afforded under the Uniformed Services Employment and Reemployment Rights Act of 1994 ("USERRA"). A Faculty member's rights under this policy will be terminated if the Faculty member is: (1) separated or dismissed from service with a dishonorable or bad conduct discharge; (2) discharged under other than honorable conditions; or (3) dropped from the rolls of the uniformed service before satisfactory completion of the Faculty member's term of service.

Status and Entitlements While Performing Military Service: Faculty called to duty in the uniformed services, including duty with the National Guard, the Reserves or the Public Health Service, will receive authorized military absence without pay.

Regular Faculty who are in the National Guard or Reserves and are called to temporary annual duty of two (2) weeks with their units will be reimbursed for the difference between their military pay and regular pay for a maximum of two (2) weeks if their military pay is less, provided they supply their supervisor and the Human Resources Department with their authorized military rank, pay rate and official orders.

Faculty performing duty with a uniformed service will be entitled to reemployment rights and other benefits if: (a) they give their supervisor advance written or verbal notice of their intention or obligation to perform the service requiring their absence (if military necessity makes thirty (30) days' notice impossible, the Faculty member shall give the maximum notice possible); and (b) the cumulative length of the absence plus all prior absences from HPU on military service leave does not exceed five (5) years.

Notice and Requests for Military Leave: To avoid disruption in University operations, HPU requests that Faculty complete a leave of absence request and give it to their supervisor at least one (1) month prior to the absence period

Return to Work: Faculty returning to work with HPU must comply with University rules regarding return to work. For additional information contact Human Resources.

Reemployment Benefits and Positions: Unless HPU circumstances have so changed as to make reemployment impossible or unreasonable, HPU will provide reemployment opportunities to Faculty returning from uniformed service under current University rules. In addition, HPU will afford a returning Faculty member the seniority ranking and benefits that the Faculty member would have received if his or her continuous employment had not been interrupted by uniformed service.

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7.10.4 BEREAVEMENT LEAVE

In the event of death of a member of a Regular Faculty member's immediate family (spouse, parent, child, brother, sister), the Faculty member may take paid leave in the amount of:

- Three (3) working days of leave when the funeral is on O`ahu;
- Five (5) working days of leave when the funeral is on a Neighbor Island; and
- Seven (7) working days of leave when the funeral is outside the State of Hawai`i.

7.10.5 VOTING TIME

Faculty members are authorized a maximum of two (2) hours' time off with pay for voting time during polling hours. Faculty members are not permitted to miss scheduled teaching or other work commitments to vote unless it is unavoidable and then arrangements should be made in advance with the department chair.

7.11 Leave Without Pay

A Regular Faculty member may apply for a leave without pay for personal reasons. Regular Faculty members who have at least 5 years of service requesting a leave of less than one year are routinely approved so long as the faculty member's absence does not cause disruption within the program.

Those on leave without pay will receive no financial compensation from the University. A period of approved leave without pay does not break the continuity of appointment, but time spent on leave without pay may not count toward eligibility for vesting in the GRA retirement plan.

Insurance and all other benefits are not provided to faculty members when all jobs held by the faculty member are on leave without pay. Contact Human Resources to determine your eligibility for continuation of insurance coverage.

A leave of absence without pay will not prejudice a faculty member's salary. If an across-the-board increase is awarded to faculty while on leave, the faculty member will be eligible for an increase equal to the increase awarded upon their return.

Duration of leave and expectation of return must be agreed upon by faculty member and his/her Dean. Final approval is at the discretion of the Provost. Changes to the original leave request or the faculty member and his/her Dean in writing must agree upon expected date of return. Leave without pay should only be used when there is an expectation and a commitment to return.

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Should the faculty member on leave without pay neglect to return to active service at the agreed upon date, the faculty member will be considered to have resigned. Faculty members on leave without pay do not have voting privileges in the Faculty Assembly.

In some instances, faculty on leave without pay continue to serve the campus in a variety of voluntary capacities. Space, telephone, clerical assistance, and other privileges are provided at departmental discretion from departmental resources.

7.12 Temporary Housing Benefits

In the event that temporary housing benefits are necessary for Regular or Special Appointment Faculty, the following conditions apply unless specifically altered in written contract by the Provost.

- Temporary housing benefits will be limited to 90 days.
- The Faculty member is responsible for securing their own living arrangements, but HPU will serve as co-signer and guarantor when the situation dictates.
- Temporary housing benefits will be limited based on family size. For a single faculty member the maximum monthly benefit will be $2000 a month, for a faculty member + family the monthly benefit will be $2500 a month.
- Faculty members may be required to sign an agreement that entitles the University to reimbursement of housing costs if the faculty member does not complete their assignment.

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8.0 Acronyms

AA Academic Affairs

AAPPM Academic Affairs Policies and Procedures Manual

ADA Americans with Disabilities Act

AL Applied Learning

ARO Alternate Responsible Officer

APHIS Animal and Plant Health Inspection Service

AUR Alumni and University Relations

AVMA American Veterinary Medical Association

AVP Associate or Assistant Vice President

AWA Animal Welfare Act

BERF Business Expense Request Form

BIK Broad, Integrative Knowledge

CAIT Center for the Advancement of Innovative Teaching

CAL Curriculum Area Liaison

CAS Center for Academic Success

CBA College of Business Administration

CBHS Counseling and Behavioral Health Services

CD compact Disc

CDC Centers for Disease Control

CFO Chief Financial Officer

CFR Code of Federal Regulations

CHO Chemical Health Officer

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CHP Chemical Hygiene Plan

CHSS College of Humanities and Social Sciences

CL Civic Learning

CNCS College of Natural and Computational Sciences

CNHS College of Nursing and Health Sciences

CONTU National Commission on New Technological Uses of Copyright Works

CSEP Colleges' Scholarly Endeavors Program

CV Curriculum Vitae

DC Downtown Campus

DEQA Distance Education Quality Assurance

DEQAP Distance Education Quality Assurance Policy

DNA Deoxyribonucleic Acid

rDNA Recombinant Deoxyribonucleic Acid

DoD Department of Defense

DQP Degree Qualifications Profile

DVA Department of Veterans Affairs

DVD Digital Versatile Disc

EAP Employee Assistance Program

EAR Export and Administration Regulations

EEO Equal Opportunity Employer

EKG Electrocardiogram

EOP Emergency Operations Plan

Ex. Example

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F & A Facilities and Administrative

FAR Federal Acquisition Register

FAQ Frequently Asked Questions

FCPA Foreign Corrupt Practices Act

FDPAC Faculty Development Policies and Activities Committee

FERPA Family Educational Rights and Privacy Act of 1974.

FMLA Family and Medical Leave Act

FSC Faculty Support Center

FTE Full Time Equivalent

Gen Ed General Education

GI a member or veteran of the U.S. armed forces.

GPA Grade Point Average

HHS Health and Human Services

HLC Hawaii Loa Campus

HMSC Hazardous Materials Safety Committee

HPA Honors Point Average

HPU Hawaii Pacific University

HR Human Resources

HWPA Hawaii Whistleblower's Protection Act

HY hybrid course

IACUC Institutional Animal Care and Use Committee

IBC Institutional Biosafety Committee

ID Identification

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ILAR Guide for the Care and Use of Laboratory Animals

ILL Interlibrary Loans

IO Institutional Official

IRB Institutional Review Board

IRS Internal Revenue Service

IS Intellectual Skills

ISS International Student Services Office

IT Information Technology

ITAR International Traffic in Arms Regulations

ITS Information Technology Services

LMS Learning Management System

MA Masters of Arts

MBA Masters of Business Administration

MATESL Masters of Art in Teaching English as a Second Language

MCP Military Campus Program

MOU Memoranda of Understanding

MP Model Progress building located at 1188 Fort Street Mall.

MSIS Masters of Science in Information Sciences

MSN Masters of Science in Nursing

NCAA National Collegiate Athletic Association

NIH National Institutes of Health

OAA Office of Academic Affairs

OCP Off-Campus Programs

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OL Online -

OMB Office of Management and Budget

ORI Office of Research Integrity

OSHA Occupational Safety and Health Act

OSP Office of Sponsored Projects

OUC Office of the University Counsel

PHS Public Health Service

PI Principal Investigator

PPE Personal Protective Equipment

QM Quality Matters Rubric

RFP Request for Propsal

RO Responsible Officer

SLO Student Learning Outcome

SMA

SOP Standard Operating Procedure

T.A. Teaching Assistant

TY Teacher of the Year

TRF Travel Request Form

UB Upper Bishop – building at 1164 Bishop Street aka Finance Factors building

University: shall mean Hawai‘i Pacific University.

U.S. United States

USERRA Uniformed Services Employment and Reemployment Rights Act

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VP Vice President

VPAA Vice President Academic Affairs

WASC Western association of Schools and Colleges

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9.0 Glossary

A level In Britain, the latter of two standardized tests in a secondary school subject used as a qualification for entrance into a university.

Arbitur is used as a designation in Germany, Finland and Estonia for final exams that students take at the end of their secondary education.

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External Search An external search shall include candidates internal to HPU as well as those external to HPU.

GED The General Education Development tests are a group of five subject tests which, when passed, certify that the taker has achieved high-school level academic skills in Canada or the United States.

HKCEE The Hong Kong Certificate of Education Examination was a standardized test given between 1974 and 2011 to students after completing their secondary education.

Hybrid Course is defined as learning delivered through a combination of online delivery and supervised face-to-face sessions at a physical location away from home. In hybrid courses, students have some control over the time, place, path, and/or pace of the online portion of their education.

Internal Search An internal search shall include only those candidates currently employed by HPU.

Invention: A creation of Intellectual Property which did not exist previously.

Inventor with respect to patentable subject matter, means an Employee who has made an inventive contribution to the Intellectual Property as defined under U.S. patent laws, meaning that an Inventor must have contributed to the conception of ideas claimed in a patent. “Inventor,” with respect to software and other copyrightable materials and associated trade and service marks, means an Employee who has participated (a) materially in the conception of the idea of the operation or design thereof (e.g., the operation of software) or (b)

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extensively in translating an idea into a fixed medium.“Inventor,” with respect to unpatented biologic and chemical materials or laboratory animals (e.g., plasmids, vectors, cell lines, mice, etc.), means an Employee who has taken part (a) in the conception of the idea of the specific material that is to be made and/or (b) significantly in making the material but only where making the material was not a routine or known practice. A person providing material to a second person that uses the material to produce a new material generally will not be considered hereunder to be an Inventor of the new material.

O level In Britain, the earlier of two standardized tests in a secondary school subject.

Online Education is defined as education that takes place over the Internet, with the teacher and student separated geographically. Students have direct interaction with the teacher of the course using electronic means, and an LMS is used to provide a structured learning environment. Online education can be fully online (either synchronous or asynchronous) or blended (online instruction combined with classroom-based instruction). Online education is one form of distance learning. The term does not include programs that do not have direct interaction between the course instructor and the students. Online education is synonymous with online learning, virtual learning, digital learning, or cyber learning.

Patentable Materials shall be deemed to refer to items other than software which reasonably appear to qualify for protection under the patent laws of the United States (see 35 U.S.C. 101 et seq.) or other protective statues whether or not registered thereunder.

Software shall include one or more computer programs existing in any form, or any associated operational procedures, manuals or other documentation, whether or not protectable or protected by patent or copyright. The term "computer program" shall mean a set of instructions, statements, or related data that, in actual or modified form, is capable of causing a computer or computer system to perform specified functions.

SPM Sijil Pelagram Malaysia is a certificate of education given after a fifth-year secondary student takes and passes a national examination in Malaysia.

Technology transfer: is the process whereby University creative and scholarly works may be put to public use and/or commercial application.

Trademarks shall include all trademarks, service marks, trade names, seals, symbols, designs, slogans, or logotypes developed by or associated with the University System or any of its institutions. (see 17 U.S.C. 1127.)

Trade Secrets means information including, but not limited to, technical or nontechnical data, a formula, a pattern, a compilation, a program, a device, a method, a technique, a drawing, a process, financial data, financial plans, product plans, or a list of actual or potential customers or suppliers which: (i) derives economic value, actual or potential, from not being generally known to, and not being readily ascertainable by proper means by, other persons who can obtain economic value from its disclosure or use; and (ii) is the subject of efforts that are reasonable under the circumstances to maintain its secrecy.

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University: shall mean Hawai‘i Pacific University.

University personnel/employee: shall include all full-time and part-time employees of the University, including Academic Personnel, Technical, Executive, Administrative and Managerial Support, University Support Personnel, and Other Personnel Services employees; appointees of the University, including faculty members and all volunteers; persons paid by or through the University, including fellows; and anyone working under University auspices. Students who are encompassed within any of these categories shall be considered University personnel.

University support: shall include the use of University funds, personnel, facilities, equipment, materials, or technological information, and includes such support provided by other public or private organizations when it is arranged, administered, or controlled by the University.

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