



**NATIONAL
UNIVERSITY**

Education that works.



EMPLOYEE MANUAL 2023

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EMPLOYEE MANUAL

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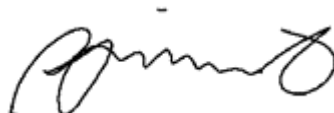
MANUAL VERSION CONTROL LOG			
Version Control No.	Description	Date of Effectivity	Remarks
2015 version	Staff Manual		
ADM-HR-D-M-001(02)	<ul style="list-style-type: none"> Renaming of document from Staff Manual to Employee Manual Revision of the major contents to align with the 2019 Faculty Manual Revision of annexed HR Forms 	1 December 2019	Prepared by Solutions Foundry, Inc.
OPR-HRD-D-M-001	<ul style="list-style-type: none"> Revisions due to the updating of current practices and changes made during & after the COVID-19 pandemic. Revision of the Organizational Structure in reference to the new Institutional Table of Organization effective 2nd Term AY 2023-2024 Revision of the Annexes which forms part of the HR Forms (SPES for Faculty and ASP) and the overview of the divisions of National University 	1 August 2023	

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MANUAL APPROVAL CONTROL LOG

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FOREWORD

Welcome to the National University!

As you commit to your professional career, you also enlist your time and aspects of your personal life. The National University (herein referred to as “National University”) provides meaning to your employment with its Vision, Mission, Goals and Values. This Employee Manual (herein referred to as the “Manual”) helps you focus your efforts on a noble cause.

National University prepared this Manual to provide an overview of its policies, rules, regulations, and benefits. This will familiarize you with important information about National University and provide guidelines on your employment to foster a safe and healthy work environment. Please understand that this Manual cannot be construed as a legal document. It provides general information governing employees of National University and is neither an expression nor an implied contract. Moreover, it is not a substitute for sound management judgment and discretion.

It is impossible to anticipate every situation that may arise in the workplace or provide information that answers all issues. Thus, a circumstance will undoubtedly require that policies and regulations, practices and benefits described in this Manual change from time to time. Accordingly, National University reserves the right to modify, supplement, remove or revise any provision in this Manual as it deems necessary or appropriate in its sole discretion with or without notice.

No business is free from day-to-day problems, but we believe our human resources policies and practices will help resolve such problem. All of us must work together as a team to make National University a viable, healthy, and valuable institution. This is the only way we can provide a satisfactory working environment that promotes genuine concern and respect for others, including all employees and our customers.

If any statement in this Manual is not clear, please check with your immediate superior for clarification. Should you find some items in this Manual that you believe can be improved for the better delivery and understanding of every employee in the National University, we welcome your comments and suggestions.

This Manual supersedes any prior policies, procedures, and Manuals of National University as stated in the Manual Control Version Log.

Human Resources Division
National University

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PRIVACY STATEMENT

National University is committed to protecting the privacy rights of individuals on personal information pursuant to the provisions of Republic Act No. 101173 or the Data Privacy Act of 2012, its Implementing Rules and Regulation, and other NPC issuances.

All employees, students, and administration officers are enjoined to comply with and share in the responsibility to secure and protect personal information collected and processed by NU in pursuit of legitimate purposes.

The Commission on Higher Education (CHED) has emphasized the NPC’s “5 Commandments” for data privacy compliance, which include the following:

- Appointing a Data Protection Officer (DPO);
- Conducting a Privacy Impact Assessment;
- Creating a Privacy Management Program;
- Implementing privacy and data protection measures, and
- Performing Breach Reporting Procedure.

With this policy, NU ensures that we gather, store and handle data fairly, transparently, and with respect for individual rights.

As part of our operations, we need to obtain and process information. This information includes any offline or online data that makes a person identifiable such as names, addresses, usernames and passwords, digital footprints, photographs, social security numbers, financial data, etc.

Our company transparently collects this information and only with the full cooperation and knowledge of interested parties. Once this information is available to us, the following rules apply:

Our data will be:

- Accurate and kept up-to-date;
- Collected fairly and for lawful purposes only;
- Processed by the company within its legal and moral boundaries, and
- Protected against any unauthorized or illegal access by internal or external parties.

Our data will not be:

- Communicated informally;
- Stored for more than a specified amount of time;

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- Transferred to organizations, states, or countries that do not have adequate data protection policies, and
- Distributed to any party other than the ones agreed upon by the data's owner (exempting legitimate requests from law enforcement authorities).

In addition to ways of handling the data, the company has direct obligations toward people to whom the data belongs. Specifically, we must:

- Let people know which of their data is collected;
- Inform people about how we will process their data;
- Inform people about who has access to their information;
- Have provisions in cases of lost, corrupted, or compromised data, and
- Allow people to request that we modify, erase, reduce, or correct data contained in our databases.

To exercise data protection, we are committed to:

- Restrict and monitor access to sensitive data;
- Develop transparent data collection procedures;
- Train employees in online privacy and security measures;
- Build secure networks to protect online data from cyberattacks;
- Establish clear procedures for reporting privacy breaches or data misuse;
- Include contract clauses or communicate statements on how we handle data, and
- Establish data protection practices (document shredding, secure locks, data encryption, frequent backups, access authorization, etc.).

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CHAPTER 1

THE NATIONAL UNIVERSITY

SECTION 1: BRIEF HISTORY

A young man, barely 23 years old, had a vision of inculcating among the youth the qualities of competence and leadership, high moral and spiritual values and development of everyone into a total person. These would be acquired through an educational process guided by the philosophy of Dynamic Filipinism.

This philosophy has as its guiding tenets, the internalizing all that is good in the Filipino people: warmth, hospitality, innovativeness, and a high emotional quotient that has made Filipinos renowned in service oriented industries.”

This young man, Don Mariano Fortunato Jhocson, guided by this vision, founded Colegio Filipino, now NATIONAL UNIVERSITY on August 01, 1900, in Quiapo, City of Manila. It was the first non – sectarian and co – educational institution then. There were only a handful of students at that time in the fledgling School, and they were in the elementary and secondary (High School) levels. Don Mariano, to help the school grow, was teacher, director and janitor rolled into one.

In a short span of 5 years, he offered courses in Business – bookkeeping and accounting, convinced that thus armed, his students would be financially secure and respectable after graduation. This led to the changing of the name to Colegio Mercantil, awarding the diploma of Perito Mercantil. A short time later, the Philippine Law School was opened with the collaboration of the Lacson brothers. Don Mariano saw the dire need for training the youth for leadership and responsibility. He firmly believed that the discipline of Law would turn out men and women who would eventually be advocates for Philippine self-government.

In 1916, the Board of Trustees changed the name from Colegio Mercantil to National Academy. The growth of the Academy was continuous, and added Liberal Arts which became the gateway to other disciplines that followed.

After 21 years of educational service, on January 17, 1921, the Board of Trustees applied for and secured permission from the Department of Public Instruction to change the name of the National Academy to NATIONAL UNIVERSITY. On that same day, the University also installed Senator Camilo Osias, one of the most respected and outstanding Filipino educators as President of the University.

Thereafter, the Colleges of Education and Commerce were opened in the same year. During the following years, the Colleges of Pharmacy and Dentistry were opened in 1922. The College of Engineering, offering initially Civil Engineering opened in 1925 and the Normal School in 1930. Sanitary Engineering was initially offered in 1930.

From July 1945, its facilities have since continuously expanded and the following disciplines were added – bachelor’s degrees in chemical, Electrical, Industrial, Mechanical Engineering and Architecture and Arts. Master in Sanitary Engineering was also organized.

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Responding to the needs of industry and modern technology, the University started offering the following programs: Computer Science in 1990, Marine Engineering and in 1994 Computer Engineering and Electronics and Communications Engineering. College of Nursing was offered in 2004, Hotel and Restaurant Management in 2008 and Information Technology in 2009.

On January 01, 1998, a disastrous fire razed four buildings of the University – the Main Building, Law and Commerce Building, Elementary Building, and the Graduate School Building. The University was able to re-open its doors after three weeks of unrelenting restoration work.

In the last quarter of the year 2008, the SM Group of Companies acquired majority ownership of the National University. The all-out support of the SM Group strengthened the university as a higher institution with the building of new infrastructure, improved and upgraded laboratories all of which are focused on academic excellence.

The year 2021 marked the end of the 5-year strategic development plan after the SM Group acquired the university. National U now has more than one thousand teaching and non-teaching personnel. Enrollment is progressively increasing with more than ten thousand students.

NATIONAL UNIVERSITY is a founding member of the University Athletic Association of the Philippines (UAAP) and is a pioneer of the Philippine Association of Colleges and Universities (PACU). Its international affiliations and memberships include the Association of Southeast Asia Higher Institutions of Learning (ASAIHL) and the International Association of Universities (IAU).

Today, the University is engaged in a continuous modernization and upgrading program for its facilities, faculty, and sports development. Our new University infrastructure is an 8-storey modern design building with two units of escalators and four units of elevators. There are 8 operational campuses of National University in the Philippines, namely:

1. NU Manila, Sampaloc, Manila (main campus)
2. NU Laguna, Calamba, Laguna (2018)
3. NU Fairview, Fairview, Quezon City (2019)
4. NU MOA, Pasay City (2019)
5. NU Baliwag, Bulacan (2020)
6. NU Dasmariñas, Cavite (2021)
7. NU Lipa, Lipa, Batangas (2022)
8. NU Clark, Mabalacat, Pampanga (2023)

Other upcoming campuses are NU Bacolod (2024), NU East Ortigas (2024), & NU Cebu (2025).

NU's major achievements by far are as follows:

- 3 QS Stars Rating Overall in 2022, with
 - 5 QS Stars in Teaching
 - 4 QS Stars in Online Learning
 - 3 QS Stars in Employability, Academic Development, and Inclusiveness
 - 1 QS Star in Internationalization, Social Responsibility, and Computer Science and Information System Program
- Granted CHED Autonomous Status in 2019 (CMO. No. 12, series of 2019)

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- Recognized as a Center of Excellence in IT Education, extended until further notice
- 100% of the 24 programs in the main campus are accredited, with 54.16% (13) of the programs for Level IV accreditation
- 3-years ISO 9001:2015 Certification starting 2021
- UAAP championship titles in various sports such as basketball & volleyball, among others, including cheer dancing competitions.
- Established eight (8) new operational campuses
- Enhanced organizational structure
- Became more financially sustainable
- Has more strengthened research capabilities, sense of community, and nationhood

The primary academic direction of the SM Group of Companies was to produce *employable* Graduates – those who will be productive contributors to the community and country. Translating this to curriculum development and instructional delivery refers to National University.

- Providing tools and equipment that are relevant to the required skills or expectations of the employers
- Focusing on improving instruction
- Providing a conducive classroom environment
- Using technology in the classroom
- Ensuring a “Value for money” education

SECTION 2: NATIONAL UNIVERSITY VISION, MISSION, DYNAMIC FILIPINISM AND GOALS

2.1 Vision

We are National University, a dynamic private institution committed to nation-building, recognized internationally in education and research.

2.2 Mission

Guided by the core values and characterized by our cultural heritage of Dynamic Filipinism, National University is committed to providing relevant, innovative, and accessible quality education and other development programs.

We are committed to our:

- **STUDENTS**, by molding them into life-long learners, ethical, spiritual citizens, and self-directed agents of change.
- **FACULTY and EMPLOYEES**, by enhancing their competencies, stimulating their passion, cultivating their commitment, and providing a just and fulfilling work environment.

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- **ALUMNI**, by strengthening their sense of pride through engagement, loyalty, and love for their alma mater.
- **INDUSTRY PARTNERS and EMPLOYERS**, through active collaborations by providing them Nationalians who will contribute to their growth and development.
- **COMMUNITY**, by contributing to the improvement of life's conditions and well-being of its members.

2.3 Dynamic Filipinism

Dynamic Filipinism is internalizing all that is best in the Filipino, with the time-honored values and deep spirituality stamped upon our education for Philippine citizenship that is compatible with global progress, kinship, and universal culture guided by intense nationalism, democracy, and evolving internationalism.

2.4 Goals

National University provides a nurturing learning environment. It strives to continually innovate and improve its programs and services. Its programs are student-centered, experiential in methodology, competency-based and relevant in content. It shapes students into leaders and team players, provide them with essential skills to empower them to become global professionals with the right attitude toward success.

The goals of National University shall be subject to constant review and monitoring. The strategic intent below is taken from the Five-Year Strategic Development Plan for Academic Year 2016 to 2017 until Academic Year 2020 to 2021 revised in June 2017. Within the next five years,

- National University intends to produce graduates who will be productive contributors to our society;
- National University shall ensure that anyone who graduates from the University is assured of a job or has the competency to succeed as an entrepreneur. This entails the following:
 - Competent faculty who can deliver quality instruction;
 - Curriculum that meets the requirements and expectations of the industry;
 - Adequate facilities and equipment to support both academic and non-academic requirements; and
 - Financial stability to sustain efficient operations;
 - National University must continue strengthening its research capability; and
 - National University intends to attain autonomous status as a university.

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SECTION 3: CORE VALUES

The University is a community of men and women dedicated to the task of molding Filipino leaders with spiritual, cultural, and moral values through the delivery of quality education. Each student contributes to this noble mission and supports the successful pursuit of all institutional goals.

The University commits its highest regard for human dignity. It is fair in dealing with students and looks after their well-being. Thus, the University expects students to be efficient and effective as manifested through its core values. A Nationalian possesses the core values as described below:

Integrity

This reflects who and what we are as individuals. We are honest, we are fair, we are just, and we will always do right by anybody.

Compassion

This shows how much we value people. We can feel what they feel, and we can treat each one with care and understanding regardless of any situation.

Innovation

We continuously introduce creative change in something established not for the sake of change itself, but with the purpose of constantly improving and being responsive to the times.

Resilience

An evidence of the strength of our character. We are not easily discouraged by trials and tribulations, but we know how to roll with the punches and spring back into action.

Patriotism

Nationalism is rightfully at the center of our institution and community. We display undying and devoted love for our country and everything that it stands for.

SECTION 4: QUALITY POLICY

Guided by the philosophy of Dynamic Filipinism, the National University has developed leaders since its establishment in 1900. It upholds high standards of educational services for the holistic development of lifelong learners.

The President and CEO, with the management team, shall formulate the quality policy of the National University. The quality policy supports the vision, mission, and the objectives of the University.

The management, faculty, and staff commit to continuously improve the efficiency of operational and management processes to meet ISO 21001:2018 Management Systems for Educational Organizations (EOMS) standard and applicable statutory, regulatory, and institutional requirements.

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SECTION 5: SCHOOL LOGO, COLORS, AND MOTTO

5.1 School Logo



5.2 Colors

Blue stands for the noble cause of National University.

Gold portrays the unwavering dedication of the school to nation-building.

5.3 Motto

The motto of National University is “Education That Works”.

SECTION 6: NATIONAL UNIVERSITY HYMN

This is the hymn of the National University. The Institution encourages everyone to memorize, internalize and live by the tenets of the institution with the proud singing of this Hymn.

I pledge my life, my honor
 To thee, my Alma Mater
 Who made me grow in wisdom
 Gave me love and made me strong.
 I shall defend thy good name;

 I'll strive to bring thee more fame.
 I shall wave the gold and blue,
 The colors of National University.
 I shall wave the gold and blue,
 The colors of National University.

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Hence as a guideline to all personnel of National University, the National University Hymn shall be made part of all official activities of the Institution, most especially the colleges/schools and the students. The School Hymn shall be sung either before the activity begins or ends. With this, we shall inculcate a deep pride and love for National University.

SECTION 7: PROGRAM THRUST

The University has six (6) major program thrusts to meet its Vision and Mission.

- Programs for Arts and Sciences
- Programs for Allied Health Sciences
- Programs for Technology-Driven Sciences
- Programs for Business and Accountancy
- Programs for Tourism and Hospitality Management
- Programs for Engineering and Architecture

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CHAPTER 2

NATIONAL UNIVERSITY GOVERNANCE

SECTION 1: CORPORATE GOVERNANCE

Corporate governance is the set of processes, customs, policies, laws, and institutions affecting the way this institution will be directed, administered, or controlled. It also includes the relationships among the many stakeholders involved and the goals for which the corporation is governed. The governance address matters such as the Board’s mission, Director responsibilities, Director qualifications, Board and council committee structure, Chief Executive Officer performance evaluation and management succession. This shall be discussed, approved and subject to amendment based on what deems important in the leadership of the institution.

Basically, an effective governance shall consider the following factors:

- **Accountability** – of all the personnel on all levels of the organization hierarchy to the achievement of the responsibilities and tasks to ensure satisfaction of the ultimate stakeholders.
- **Transparency** – in the information, timeliness and integrity of the information produced.
- **Clarity** – in responsibilities and timelines to enhance accountability.
- **Checks and Balances** – a mechanism that guards against fraud and errors due to omission.
- **Adherence** – to the rules, policies, regulations, guidelines, protocols, and laws.

Ensuring that a good corporate governance is in place in National University will lay down the framework for creating long-term trust between the institution and all its stakeholders.

To be able to commit to the good governance, the proper adherence to the guidelines, policies and regulations outlined in this Manual shall be enforced, implemented, and followed by all levels of the organization from management down to the rank and file.

SECTION 2: ORGANIZATIONAL STRUCTURE

The organization structure of the National University is segregated based on two core functions of the National University, the strategic and academic operations functions.

- **Academic Operations** – central core of the NU operations that deals with the planning, organizing, managing, coordinating, and controlling all resources and activities necessary in the delivery of quality education to the students of NU.
- **Strategic** – focuses on the development of the University’s strategy to chart out its future growth pattern based on some specific actions and ensures that no departments are working in silos.

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Based on this organization structure, there are eight (8) divisions under the President/CEO, namely:

- Academic Operations
- Administrative Services
- Corporate Affairs
- Finance Services
- Human Resources
- Information Technology
- Quality Management
- NU Campus Operations

These divisions shall have several departments or units of operations.

National University management reserves the right to adjust the structure based on conceived need and requirement of the expanding operations of the institution.

For reference, the National University Table of Organization is shown in Annex A.

SECTION 3: GOVERNING BODY AND AUTHORITY

Leadership, commitment, and active involvement of the National University Management Team, composed of the President and CEO and of all the VPs and Unit Directors are essential in developing and maintaining an effective and efficient system to achieve school success – customer’s success, employees’ success, operational success, and financial success.

3.1 Board of Directors

The Board is the highest policy making body of the University and is accountable to all its stakeholders. Toward this end, the Board has the sole authority to determine policy, conduct the ordinary business, and manage and control the assets of the University.

Specific Roles and Responsibilities:

- Deliberates, formulates, and approves general policies deemed necessary in administering the development of the University.
- Decides on major problems and issues besetting the school.
- Appoints, replaces, and exercises general supervision over key officers of the University.
- Approves important financial matters such as budgets, capital expenditures, compensation of key officers and committee members, and financial audits and to ensure that proper annual and interim reports are given to stockholders.
- Safeguards and approves changes in, the corporate assets (declaration dividends, pledge of assets for loans, sale or mortgage of property, and issuance of securities).
- Delegates authority to other officers to sign contracts, open bank accounts, issue stock, make loans, perform other activities which require board approval.

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- Enforces the articles of incorporation and bylaws of the University.
- Maintains a sound Board through regular annual elections and filling of vacancies.
- Constitutes Board Committees such as an Executive Committee, with delegated authority to act on important and urgent matters.
- Provides the means for the promotion and advancement of the financial, academic, physical plant, land, and infrastructures, and other developmental programs of the University.

3.2 The Executive Committee (EXECOM)

The Executive Committee is a board committee. It acts on all matters except when specifically restricted by the Board through its resolutions. It usually meets between regular Board Meetings to discuss or act on urgent matters which the Board cannot act upon immediately.

Specific Roles and Responsibilities:

- Reviews the overall operations of the business; decides appropriate actions to improve University performance.
- Reviews recommendations of operating committees; sort out urgent matters for immediate action; endorses committee policy recommendations for Board approval or ratification.
- Approves recommendations for appointments, promotion, and other personnel action for all executive positions with the rank of Assistant Vice-President or higher.
- Reviews major proposals or transactions between the University and outside parties which affect the overall organization and financial operations of the University.
- Recommends, and promulgates general administration policies governing academic affairs, personnel, financial management, real and other properties, development planning and other aspects of institutional management, subject to the approval of the Board of Directors.

3.3 President and CEO

The Board of Directors appoints the President. The President concurrently functions as the Chief Executive Officer (CEO) of the University and leads the academic, administrative and development programs geared towards the realization of the Vision, Mission, and goals of the University.

The President/CEO is responsible for embodying the mission of the school and articulates the mission for all aspects of the school's program; Initiating the strategic planning, monitoring and control in order to meet goals and objectives of the National University; keeping the board informed of all matters relating to the school through reports at board meetings and immediate communication following major school events or happenings; and fostering professionalism, collegiality, and ethical conduct in the University.

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3.4 President's Council

The President's Council is composed of the President/CEO, Group Academic Officer, Chief Information Officer, Group Chief Finance Officer, all the Vice Presidents, and the Assistant Vice President for Human Resources. This is also considered as the Executive Committee (ExeCom).

Specific Roles and Responsibilities:

- Advises the President/CEO in all academic issues and concerns, namely, instruction, research, and community extension.
- Addresses major administrative and operational problems encountered in the University.
- Reviews, approves, and implements any policy, programs, reforms, and guidelines presented to the Council.

3.5 NU Philippines Management Council

The NU Philippines Management Council (NU Phil) is headed by the President/CEO and composed of the President's Council, Executive Directors of NU campuses, and Senior Directors of the Shared Services.

Specific Roles and Responsibilities:

- Responsible for discussing and standardizing the policies, procedures, programs and/or activities across all campuses of National University.
- Reviews, approves, and implements any policy, programs, reforms, and guidelines presented to the Council.

3.6 Academic Council

Headed by the Group Academic Officer, the Academic Council is composed of the campus academic heads. The council is involved in the development of academic policies and standards for implementation across all campuses.

Specific Roles and Responsibilities:

- Exercise general supervision over the academic works and efforts of National University and to give direction regarding methods of instruction, evaluation, and improvements in academic standards.
- Take periodical review of the activities and performances of the campuses, including enrollment, retention, and graduation, and to take appropriate action with a view to maintaining and improving standards of instruction.
- Recommend institution of teaching posts and standardized systems to the Executive Committee and the President's Council.

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3.7 Deans Council

This is the Management team per campus composed of the College/School Deans and headed by the Campus Academic Head. The council is involved in the verification and validation of quality processes relative to the realization of academic products and services.

Specific Roles and Responsibilities:

- Discuss and consider matters of academic interest either on its own initiative or at the instance of the Executive Committee and the President's Council or those proposed by the departments/faculties and to take proper action thereon.
- Promote research within the university, acquire reports on such research from time to time.
- Prescribe courses of study leading to degrees and diplomas of the National University campus.
- Suggest measures for departmental coordination and collaboration.
- Make recommendations to the Executive Committee and the President's Council on:
 - Measures for improvement of standards of teaching, research, and community engagement; and
 - Institution of fellowships, travel fellowships, scholarships, medals, prizes etc.
- Recommend to the Executive Committee and the President's Council, the establishment or abolition of programs and other offerings.
- Take periodical review of the activities and performances of the Colleges/Schools, including enrollment, retention, and graduation, and to take appropriate action with a view to maintaining and improving standards of instruction.
- Exercise such other powers and perform such other duties as may be conferred or imposed upon it by the Rules.

3.8 Administrators Council

The Administrators Council is headed by the Campus Head, and the members are composed of all directors/office heads and college/school deans. The council meets once a month to support quality processes relative to the realization of academic and non-academic products and services.

Specific Roles and Responsibilities:

- Implement, manage, review, and modify the administrative policies of the National University.
- Discuss complaints, issues, concerns, and grievances within and between the administration and employees at all organizational levels regarding university policies, practices, and programs.
- Review and update the Employee Manual recommending corrections, adaptations, and possible alternative suitable administrative structures.
- Review performances of the units involved in the Administrators Council.
- Prepare monthly performance and issues reports for submission to the President; and
- Foster closer working relationships and collaborate tasks between organizational areas, units, and groups of employees to address the issues and concerns of the employees.

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CHAPTER 3 EMPLOYMENT PRACTICES

To maintain quality standard of services, hiring and employment policies and practices would ensure efficient and effective operational processes to satisfy stakeholders' expectations.

SECTION 1: MANPOWER POLICY STATEMENT

National University shall employ only the right number of people possessing the appropriate knowledge skills, technical skills, values, and attitude. They should match the specifications of the position required of the job.

From recruitment to retirement, the importance of the employee is affirmed. The University leadership, together with all its stakeholders, sustain its stature by the undaunted participation and support of the employees. Highly dynamic, the University regards human resources its greatest asset.

As employees commit to participate in achieving National University's Vision, Mission, and Goals, they can expect genuine care and concern from the University. It is committed to provide opportunities for personal career and professional growth. This, in effect, enhances the economic welfare of the family of employees.

Specifically, the University adheres to the following principles:

- Recruit the most qualified to ensure adherence to the highest standard of professionalism;
- Prohibit hiring relatives to avoid potential conflict of interest situations;
- Maximize opportunities for personal and professional growth;
- Maintain a performance-based career program;
- Adopt a responsive and competitive compensation and benefits program;
- Maintain a work environment conducive to high performance and harmonious employer-employee relationship; and
- Promote a well-motivated people whose work is a source of fulfilment.

It is the policy of National University that only the President can officially hire/employ or terminate the services of any type of employee (whether probationary, regular, or contractual) with just cause as provided in Article 282 of the Labor Code of the Philippines.

SECTION 2: EMPLOYMENT TYPES AND CLASSIFICATION

2.1 Types of Employment

There are two (2) types of employment within National University. These are as follows:

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- 2.1.1 **Teaching Personnel (TP)** – These include all the personnel assigned in the Colleges/Schools, which includes the Deans, Program Chairs and Faculty. They have different classification and faculty ranking, which are as follows:

Classification	Faculty Ranking	
	Academic	Industry Practitioner
<ul style="list-style-type: none"> Regular Full-time Probationary Full-time Contractual Full-time (Non-regular) Part-Time Substitute Special Lecturer / Consultant / Adjunct 	<ul style="list-style-type: none"> Full Professor 1 to 4 Associate Professor 1 to 4 Assistant Professor 1 to 4 Instructor 1 to 4 	<ul style="list-style-type: none"> Professional Lecturer 1 to 6 Lecturer 1 to 3

- 2.1.2 **Administrative Support Personnel (ASP)** – These include all those who are assigned in the offices to support the operations of the school from the upper and middle management down to the staff. Most of the policies and guidelines in this Manual are also applicable to all the ASPs.

- Officials – are ASPs with job rank of 401 and up
- Supervisors – are ASPs with job rank of 301 to 303
- Rank & File – are ASPs with job rank of 101 to 203

2.2 Classification of Employment for All Teaching Personnel

2.2.1 Probationary Teaching Appointment

- 2.2.1.1 All teaching personnel being hired to fill in vacant positions shall be initially issued a Probationary Contract. This is the period when an employee's capability and suitability for the position based on the National University's performance standards is assessed. The probationary employee is subject to the following conditions:

- Undergo a maximum of 9 terms of continuous service as provided by law to prove he/she is acceptable for the position. It also serves as an opportunity for the faculty to determine whether he/she fits the job.
- Has no other remunerative occupation elsewhere.
- Subject to all National University policies, rules, and regulations.
- Probationary fulltime faculty members maybe be entitled to specific benefits after one (1) year of continuous employment at NU.
- Subject to annual performance evaluation by the immediate superior. National University shall use a Standard Performance Evaluation System (SPES) as instrument to measure the performance of the employee. The candidate for regularization should achieve at least a rating of 4.0 or Meets Expectation (ME) in all SPES records and an average Online Teachers Evaluation (OTE) of 4.51 during the probationary period, with no score lower than 4.51 in any evaluation.

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2.2.1.2 National University, through the Human Resources, shall inform the probationary employee of the standards by which s/he will be evaluated for regular employment, namely:

- a. Job orientation;
- b. Job description and the agreed Key Performance Indicators;
- c. Record of violation of National University rules and regulation;
- d. Attendance and tardiness record;
- e. Recommendation of immediate superior;

2.2.1.3 A probationary employee may be terminated for just cause and failure to qualify as a permanent employee in accordance with the prescribed National University standards and as communicated to the teaching employee. This can be done anytime during the period of probation.

2.2.1.4 The faculty shall be notified within seven (7) days after the end of the employment contract of its renewal. In the absence of the written notice, the contract is deemed expired.

2.2.2 Regular Teaching Appointment

2.2.2.1 A regular teaching appointment is given to a faculty who has:

- a. Satisfactorily met the requirements and performance standards of National University.
- b. Complied with the National University policies and procedures, rules and regulations, administrative practices, and requirements (e.g., policy on tardiness and attendance, dress code, among others).
- c. Good physical and mental health as certified by the National University Physician.
- d. Passed and completed at least five (5) consecutive terms of probationary period of employment.
- e. Been recommended by the immediate superior.
- f. Been endorsed by the Campus Head for approval of the President.
- g. Granted regular status by the President, if required.

2.2.2.2 The implementation of regular appointment shall be as follows:

- a. Probationary faculty who satisfies the minimum requirements maybe recommended for regularization on the 3rd term of probationary period. The immediate superior shall commence the evaluation of the candidate and submits his/her recommendation to the HR.
- b. Probationary faculty who fails to meet the minimum requirements shall continue with the probationary status until the 8th term. Thereafter, the faculty shall be appointed as a part-time faculty and shall not be endorsed by the Dean as a full-time faculty until the minimum requirements are met.

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- c. HR reviews the employment and performance records of the candidate (e.g., attendance, evaluative records, compliance to policies, rules, and regulations, etc);
- d. If cleared, HR forwards the regularization documents to the Campus Head for approval;
- e. The teaching employee shall receive an appointment/notice from the HR Office to formally regularize the status of employment. The Conforme of the employee is necessary for the appointment to take effect.

2.2.2.3 A teaching employee on regular status adheres to the following terms of employment:

- a. Renders at least forty hours (40) hours of work per week
- b. Receives monthly salary based on existing government regulations and National University rules and standards.
- c. Has no other remunerative occupation elsewhere.
- d. Granted benefits and compensation according to National University standards.
- e. Attends the annual orientation and re-orientation program scheduled before the opening of each new academic year.
- f. Abides by all the rules and regulations, policies and procedures of National University as stipulated in this Manual and other institutional policies.

2.2.3 Contractual Appointment

A contractual appointee is engaged under the conditions of a contract to work for National University only for a fixed and limited period, the completion or termination of which has been determined at the time of employment.

This covers the following: part-time faculty, substitute, consultant, special lecturer, and adjunct faculty.

Contractual appointees are not entitled to benefits except those expressly provided by law and those stated in the signed contract.

Employment of Contractual appointees shall cease on the date specified in the contract without need for further notice. Any extension must be advised by the immediate supervisor to HR within ten (10) days prior to the contract's expiration.

2.3 Classification of Teaching Personnel

2.3.1 Employment of faculty is classified into the following:

- Full-time (Contractual Non-Regular, Probationary and Regular) Faculty Member
- Part-time Faculty Member
- Substitute Faculty Member
- Special Lecturer / Consultant / Adjunct Faculty

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2.3.2 Full-Time Faculty Member

A full-time faculty member is one who:

- Devotes not less than forty hours of work a week (or as may be defined by the University);
- Has full load (24 teaching hours) assignment per work week;
- Has no other remunerative occupation elsewhere requiring regular hours;
- Is not teaching in any other school;
- Is paid a monthly salary based on the regular teaching load as provided for in existing policies, rules, and standards of the government and the University;
- Has been formally appointed as a full-time faculty member.

A full-time faculty may either be regular, probationary, or contractual non-regular.

2.3.2.1 Regular Full-Time

Regular employment shall be granted to full-time faculty members who has satisfied the following criteria:

- He/she must have served the University as full-time faculty for a maximum of three (3) consecutive years or nine (9) terms without interruption. A faculty may be granted regular appointment subject to conditions stated in Chapter 3, Section 2.2.2.1, and Section 7.1.
- Must be competent as evaluated by the Dean and students;
- Must be a master's degree holder prior to regularization;
- Must not have violated University policies, rules and regulations, administrative practices, and requirements (e.g., policy on attendance, tardiness, and under time);
- Must be of good health as certified by the University physician;
- Must have been formally recommended by the Campus Academic Head as a regular faculty member and appointed by the University President as such;
- Must devote not less than forty (40) hours a week to the University; and
- Assured of full-time teaching load.

2.3.2.2 Probationary Full-Time

A probationary faculty is a full-time employee whose regular status is not yet granted by the University. A probationary faculty is expected to consider the following:

- Probationary employment is temporary which will end on the expiry date of the contract in which case the employer-employee relationship is terminated.
- Renewal of probationary employment is solely based on management discretion and prerogative. The Dean evaluates the teacher's credentials and performance and recommends the faculty to the Campus Academic Head the continuance or termination of full-time employment.
- A probationary teacher who has yet to complete his/her graduate degree after the probationary period shall be reverted to part-time status.

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- The HR provides the list of faculty members for regularization, verifies the completion of their qualifications, and prepares the Personnel Action Notice (PAN).

2.3.2.3 Contractual Full-Time (Non-Regular)

A contractual faculty is a full-time faculty member who is hired on a fixed term basis and not probationary in nature. The total continuous employment should not exceed six (6) terms or two (2) academic years. This engagement shall not ripen to regular employment and is limited to practicing professionals such as architects, lawyers, engineers, optometrists, Certified Public Accountants, dentists, and other similar professions.

2.3.3 Part-Time Faculty Member

A Part-Time Faculty member is a temporary employee appointed for a specific period. The employment extends only to the period for which he or she was appointed, and his/her services shall automatically end as specified in the contract. The part-time faculty is:

Contracted on a term basis to teach depending on the exigencies and needs of the University;

- Paid on an hourly basis;
- May be currently employed by the government or in a private firm;
- Engaged in an extensive private practice;
- Not considered for tenure or regularization.

2.3.4 Substitute Faculty

A Substitute faculty member is one who is appointed to take the place of another faculty member during the temporary absence of the latter. The appointment shall automatically end on the term or period stated in the appointment or upon the return of the absent faculty member, whichever date comes first.

2.3.5 Special Lecturer/Consultant/Adjunct Faculty

A Special Lecturer, Consultant or Adjunct Faculty is a specialist or a technical expert invited to teach at the University governed by separate contracts of employment and shall be appointed as Special Lecturer/ Consultant/Adjunct Faculty. The said appointment is not considered for tenure or regularization.

2.4 Classification of Employment for Administrative Support Personnel

2.4.1 Probationary Appointment

- 2.4.1.1 All Administrative Support Personnel being hired to fill in vacant positions shall be initially issued a Probationary Contract. This is the period when an employee's

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capability and suitability for the position on the basis of the National University's performance standards is assessed. The probationary employee is subject to the following conditions:

- a. Undergo a maximum of six (6) months of continuous service as provided by law to prove he/she is acceptable for the position. It also serves as an opportunity for the employee to determine whether he/she fits the job.
- b. Subject to all National University policies, rules and regulations.
- c. Not entitled to any benefit granted to Regular employees.
- d. The length of absence the personnel incurred during the probationary period shall not necessarily extend the six-month mandatory probationary period.
- e. The 'No work, no pay' policy is applied to probationary employees.
- f. Subject to a monthly performance evaluation by the immediate superior. National University shall use a Standard Performance Evaluation System (SPES) as instrument to measure the performance of the employee. The candidate for regularization should achieve at least a rate of Meets Expectation (ME). On the 5th month of probationary appointment, the immediate superior evaluates the employee and recommends either the continuation or termination of employment.

2.4.1.2 National University, through the Human Resource Unit, shall inform the probationary employee of the standards by which s/he will be evaluated for regular employment, namely:

- a. Job orientation;
- b. Job description and the agreed Key Performance Indicators;
- c. Record of violation of National University rules and regulation;
- d. Attendance and tardiness record;
- e. Recommendation of immediate superior

2.4.1.3 A probationary employee may be terminated for just cause and failure to qualify as a permanent employee in accordance with the prescribed National University standards and as communicated to the teaching employee. This can be done anytime during the period of probation.

2.4.1.4 If the employee is not recommended for continuance of employment, HR will issue a written notice of end of contract at least fifteen (15) days before the contract's expiration. In the absence of the written notice of end of contract at the end of the contract of employment, the contract is deemed automatically renewed.

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2.4.2 Regular Appointment

2.4.2.1 A regular appointment is given to an employee who has:

- Satisfactorily met the requirements and performance standards of National University;
- Complied with the National University policies and procedures, rules and regulations, administrative practices and requirements (e.g. policy on tardiness and attendance, dress code, among others);
- In good physical and mental health as certified by the National University Physician;
- Passed and completed the six (6) month probationary period of employment;
- Recommended by the immediate superior;
- May be, endorsed by the VP or the Office for approval of the President;
- Granted regular status by the President, if required.

2.4.2.2 The implementation of regular appointment shall be as follows:

- Within the 60 days before the end of the probationary period or on or before the 5th month of the probationary period, the immediate superior shall commence the evaluation of the candidate and submits his recommendation to the HR.
- HR reviews the employment and performance records of the candidate (e.g. attendance, evaluative records, compliance to policies, rules and regulations, etc);
- HR forwards the regularization documents to the VP of the Unit where the concerned employee is assigned for a recommending approval;
- The recommended employee will receive an appointment/notice from the HR Office to formally regularize the status of employment. The *Conforme* of the employee is necessary for the appointment to take effect.

2.4.2.3 An employee on regular status adheres to the following terms of employment:

- Renders at least eight (8) hours of work per day;
- Paid monthly based on existing government regulations and National University rules and standards;
- Has no other remunerative occupation elsewhere;
- Granted benefits and compensation according to National University standards.
- Attends the annual orientation and re-orientation program scheduled before the opening of each new academic year.
- Has to abide by all the rules and regulations, policies and procedures of National University as stipulated in this Manual.

2.4.3 Contractual Appointment

A contractual appointee is engaged under the conditions of a contract to work for National University only for a fixed and limited period of time, the completion or termination of which has been determined at the time of employment.

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- a. This covers the following: temporary, casuals, consultants, substitutes, project-based non-teaching employees and the like.
- b. Contractual appointees are not entitled to benefits except those expressly provided by law and those stated in the signed contract.
- c. Employment of Contractual appointees shall cease on the date specified in the contract without need for further notice. Any extension must be advised by the immediate supervisor to HR within ten (10) days prior to the contract's expiration.
- d. All Contractual appointments are for no more than five (5) months at a time or unless the appointment is made subject to the duration of the specific project timeline.

SECTION 3: RECRUITMENT AND SELECTION PROCESS

This Recruitment and Selection process shall cover for all the employees of National University, whether non-teaching and teaching personnel and for contractual employee. However, for executive posts, this process may be slightly different and must be conducted by any of the President's Council members, if needed.

3.1 Members of the University community are prohibited from directly influencing the University employment or academic progress of a University member (students, faculty, employees) with whom he or she has a personal relationship. In addition, the policy may be invoked where there is no direct influence on employment or academics, but where the relationship has a negative impact on the educational or work environment.

3.2 Vacant positions shall be filled by external candidates only after considering qualified applicants from within National University. Recruitment can be done thru internal applications or external applications, where internal applications shall be prioritized and will resort to external in the absence of any internal application or qualified personnel. The internal job posting can be made simultaneously or ahead of the external job posting.

3.3 The Recruitment and Selection process for the required personnel shall be as follows:

3.3.1 Requisition. The Human Resources (HR) unit conducts in recruiting, screening, hiring, and contracting of qualified applicants for all the Unit/s in National University. The Unit shall submit an approved Manpower Request Form (MRF) to the HR. Only after the receipt of such form shall the HR commence its services for that requesting unit. If there is no MRF, then HR is not compelled to conduct screening for the Unit/s.

Requisition shall depend on the need of the Unit. The Unit may require personnel due to a replacement of a resigned personnel or needs an additional manpower due to the workload. In case of an additional manpower, the requesting unit shall submit together with the MRF, a complete Job Description of the personnel required as the reference of the HR in the recruitment. The MRF shall be signed by any Division Head, Executive Director, Vice President, or President as the case requires.

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3.3.2 **Sourcing.** Upon receipt of the MRF, recruitment begins by sourcing from the interested employees, existing database of active applicants, placement bureaus of other colleges and universities, referrals from Deans and employees, online sources, job postings and bulletin boards.

3.3.3 **CV Submission.** The applicant is asked to submit a valid and currently updated Curriculum Vitae (CV) or Resume. The Screening Form will be attached in the submitted CV or resume and will be used to initiate the process. If the applicant is qualified based on the initial qualifications set in the MRF submitted by the requesting Unit, then the applicant is scheduled for an initial interview. HR will coordinate with concerned SM Group Office or affiliates for any applications from their current employees.

3.3.4 **Initial Interview.** The HR conducts the preliminary interview with the applicants and check on their qualifications based on their submitted Curriculum Vitae (CV) or resume, and the requirements set forth in the MRF.

3.3.5 **Tests.** Qualified applicants may be advised, if any, to take the appropriate tests, IQ test, personality test and other initial test required whenever applicable in the prescribed testing area, to be administered by the HR Recruitment staff.

3.3.6 **Qualifying.** After the tests, HR will endorse to the requesting Unit at least three (3) qualified applicants, ranked accordingly with the following criteria:

- Adherence to the requirements set in the MRF.
- Educational Qualification
- Work Experience
- Personal Competency
- Seminars and Trainings
- Community Service
- Honors, Awards and Distinctions
- Over-all Impression (based on interview)

3.3.7 **Second Interview.** The qualified candidates go into a second interview by the requesting Unit Director or Head to determine the best candidate fit for the vacancy by probing into their background, competencies, attitudes, and career plans. The results are reflected in the assessment section of the Screening Form which should be returned to HR within the day after the interview.

An interview by the requisitioning party may proceed even before the psychological and skills tests when deemed necessary. This is only done on urgent and immediate requirements which requires immediate processing. This shall be subject to approval of the HR Senior Director.

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3.3.8 Teaching Demo. For all teaching applicants, they shall undergo a teaching demo which shall be arranged by the Dean or Program Chair, whoever is available. The panel for the demo shall be composed of two representatives from the college/school and 1 from HR. A separate Teaching Demo sheet shall be given for the teaching applicant.

3.3.9 Selection and Recommendation. The requesting Unit Director or Dean selects from among those interviewed for endorsement for final recommendation and approval. Then all the documents of the applicants together with the remarks for recommendation of applicant shall be submitted back to HR within the day after the interview.

3.3.10 Background Check. To determine acceptability for employment, HR will conduct a background check or contact referrals for information about character, qualifications, and potentials. If there are constraints in conducting the reference check prior to hiring, such must be completed within sixty (60) days from the start of probationary period. Further screening of applicants shall be conducted to determine all or any of the following conditions:

- Nepotism
- No existing blood relative up to the third degree of consanguinity/affinity, regardless of status
- No applicant below 18 years old
- Physical and mental fitness

3.3.11 Approval. The Hiring Form, together with the applicant's folder containing all relevant documents such as application letter, resume, tests and interview results, and other credentials, are submitted for signing and approval of the HR Campus Leads, AVP for Human Resource and Vice President or Executive Director.

3.3.12 Contract Preparation. Once signed, the applicant shall be endorsed for the preparation of the Job Order, Employment Contract and Job Description. Immediately after, the Hiring and Onboarding process will commence.

3.3.13 HR shall complete the hiring process within thirty (30) working days or earlier as required for the faculty and rank and file vacancy and forty-five (45) working days for the supervisory vacancy. HR may partner with third-party recruitment agency for Executive post, any hard-to-fill positions, and off-shore campuses.

SECTION 4: HIRING AND ONBOARDING PROCESS

4.1 National University shall hire employees based on academic qualifications, competence, character, moral fitness, and the completion of the employment requisites. They should be driven, creative, enthusiastic, and open to imbibe the core values of National University. They shall be placed in positions that will make the best use of their skills and competencies. Their career in National University shall be developed through continuous training and provide them opportunities advancement.

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- 4.1.1 Preference shall be given to qualified candidates who intend to pursue a long-term career with the National University.
- 4.1.2 National University prohibits hiring of relatives up to the third degree of consanguinity/ affinity (parent, child, spouse, brother, sister, stepparent, stepbrother, stepsister, stepchild, mother-in-law, father-in-law, brother-in-law, sister-in-law, grandchild, grandparents, cousins, nephew, niece) of currently employed faculty and staff, regardless of status (contractual, probationary, regular, part time or full time). Thus, any misdeclaration or misrepresentation, omission, or commission by a prospective employee during the hiring process, shall be sufficient ground for termination and invalidation of the employment contract. However, only the President and executive officers may allow hiring of relatives in exceptional cases.
- 4.1.3 Newly hired Foreigner Teaching and Administrative Support Personnel shall coordinate with HR Office and government agencies in the Philippines prior proceeding with the onboarding or deployment for the issuance of working visa and/or applicable work-related permit.

4.2 Hiring and Onboarding Process

- 4.2.1 **Final Interview.** As the final interview, the HR will discuss the Job Offer, Job Description and the Employment Contract terms and conditions with the selected candidate/s. The personnel shall be asked if he/she accepts the package/job offer and signs on the employment contract as proof of acceptance of the employment in National University.
- 4.2.2 **Contracting.** After the newly hired has signed the employment contract, the HR gives the Pre-Employment Checklist and commences the Hiring and Onboarding Process. The Pre-Employment Checklist contains the documents needed to be submitted to HR and the steps to undertake for the selected candidate/s. The form shall be given to the personnel within five (5) days prior to official start of work.

Upon endorsement by the HR, the VP/Executive Director and/or President signs the employment contract. The notarized contract is distributed to the new employee and the other original copy to the 201 file within 5 days after the official start of the employment.

- 4.2.3 **Forms.** Other pertinent forms, e.g., BDO/ChinaBank ATM Debit Card form, ID Information Forms shall be given to the employee together with the Pre-Employment Checklist. The newly hired should accomplish the forms given.
- 4.2.4 **Processing.** The new hire shall be asked to go to the following Units as part of the Onboarding Process:
- *Health Services Unit (Clinic)* - to undergo a physical, medical, and dental check-up with the National University physician and dentist.

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- *Information Technology and Systems Office (ITSO)* - to register in the Biometrics for timekeeping purposes in the Information, ID picture taking and preparation, official email, and username for the NU Information System.
- *HR* – to submit all pertinent documents as required by National University. Personnel must complete the required documents before the issuance of the BDO/ChinaBank ATM Debit Card.

4.2.5 Orientation. Selected candidates shall undergo the best possible orientation program to welcome them into the National University community. Policies shall be introduced to new employees aimed at infusing positive feelings towards National University, their current positions and career potential with National University.

- HR shall conduct an initial orientation for the new employee on the first day of work. The Vision, Mission, Core Values, policies, and benefits, among others, will be discussed. The employee shall also be asked to read and understand the contents of this Manual. When scheduled, all new employees must attend a comprehensive Orientation Program Seminar.
- After reading the Manual, the employee will be asked to sign the Acknowledgment Receipt for the Manual and a Non-Disclosure Agreement. These forms and documents shall be provided by HR on or before the 1st day of work.
- The new hire shall undergo a campus familiarization tour and shall be introduced to the different Offices and Unit Heads before finally being endorsed to the employee's Unit.

4.2.6 Endorsement to Unit. Upon finishing of the Orientation Program, the new hire shall be endorsed to the requesting Unit as the final part of the Onboarding Process. In the Unit, the Job Description and the expectations towards the position and employee shall be discussed.

SECTION 5: APPOINTMENT AND CONTRACT

5.1 Types of Contracts. The HR for Recruitment shall primarily manage preparations of all employment contracts. The contracts that are applicable to employees are:

- Probationary Employment Contract (For Full-time Faculty Member and Administrative Support Personnel)
- Employment Contract (For regularization)
- Personnel Action Notice (for regularization)
- Contractual Full-Time Employment Agreement (Non-Regular faculty)
- Contractual Employment Contract (For Part-time Faculty Member)
- Adjunct Faculty Contract
- Project-based Employment Contract (For Administrative Support Personnel)
- Consultancy Contract

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- 5.2 New hire shall receive their contract duly signed by the President stating their job titles, duties and responsibilities, employment status, terms, and conditions of employment.
- 5.3 All contracts are bilateral and cannot be rescinded except by mutual agreement or for grave cause. Acceptance of a contract means the acceptance of all official statements of the National University as well as policies, rules and regulations embodied in the contract and in the Employee Manual.
- 5.4 No newly hired employee shall be required to begin work without an employment contract. However, if an employee is required to immediately report for work due to the necessity of urgency, a contract shall be issued within three (3) working days.
- 5.5 Any substantial misrepresentation of facts considered essential by the National University, such as degrees held, marital status, past or present membership in subversive organizations, and general reputation, shall be deemed sufficient reason for immediate dismissal of an employee.
- 5.6 The probationary, contractual, and project-based employment contract is good only from the period stated in the agreement signed by the employee/teaching personnel and shall be automatically terminated on its date of expiration, as stated, without need for further notice.
- 5.7 National University reserves the right to exercise its sole discretion and prerogative in renewing the contract based on availability of loads and may renew employment for satisfactory performance based on the employee/teaching personnel dependability, efficiency, initiative, positive attitude towards work, students, employer, and its officers and employees, student positive evaluation, judgment, punctuality, quality, and quantity of work, potential and professionalism.

SECTION 6: PERSONNEL FILE

The Human Resource Office keeps all personnel files of National University employees, faculty, and other personnel, on a permanent and confidential basis. An employee's file contains basic information about his/her employment. This includes certain personal data that are subject to change such as, address, telephone number, civil status, number of dependents, which should be reported promptly to the Human Resources Director. This information may affect the employee's withholding tax exemptions, as well as the coverage of certain benefits. An updated home address and/or telephone number can help the National University reach the family in case of emergency.

It is the employee's obligation to update his/her personal data and information every term or year of employment. It is the employee's responsibility to submit documents to the HR for any upgrade of qualifications, such as completing a training course or degree program, or passing a qualifying examination, etc. These are necessary when additional assignments, promotions and salary adjustments are being considered.

Data privacy shall be upheld in National University. Employee personnel files (201 Files) are the property of National University, and do not belong to the employee. However only upon the request of the

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employee, the HR will provide copies of his/her file, documents, and performance evaluation results. Physical files are kept for a 10-year period while scanned copies are kept *in perpetua*.

SECTION 7: EMPLOYMENT STATUS CHANGE

These guidelines refer to the employment classification and status changes, which may be as follows:

7.1 From Probationary to Regular

7.1.1 The change from the status of probationary to regular appointment for **faculty members** shall follow the guidelines and conditions below.

7.1.1.1 Only probationary full-time faculty members can be subject for regularization as teaching staff.

7.1.1.2 All probationary full-time faculty who has successfully rendered nine (9) continuous terms is considered a regular faculty member.

7.1.1.3 The minimum requirements for faculty regularization are as follows:

- a. Rendered a minimum of three (3) terms to maximum of five (5) continuous terms
- b. Completed a master's degree
- c. Received a rating of at least four (4) or Meets Expectation (ME) in all SPES records.
- d. Received an average OTE Rating of 4.51 during the probationary period and should not get a score lower than 4.51 in any evaluation.
- e. Produced at least one (1) Scopus-indexed research during the probationary period. The published research should include National University, Philippines as the official institution.
- f. Endorsed by the College Dean or Academic Director.

7.1.1.4 All probationary full-time faculty members who met items 7.1.3.b to d on the 5th term of continuous engagement but failed to meet item 7.1.3.e may only be engaged for another three (3) terms.

7.1.1.5 Failure to meet the minimum educational requirements on the 7th term of continuous engagement may result in termination of the full-time probationary contract.

7.1.1.6 The change from probationary to regular employment status shall be in the form of Personnel Action Notice (ADM-HR-F-015).

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7.1.1.7 The most recent hiring date of rehired teaching staff shall be the basis for any retirement computations or service award.

7.1.2 The change from the status of probationary to regular appointment for **administrative support personnel** shall follow the guidelines and conditions below.

7.1.2.1 The change from the status of probationary to regular appointment shall follow the guidelines and conditions set forth in Section 2, items 2.4.2.1 and 2.4.2.2

7.2 From Contractual to Probationary

In cases when the contractual appointee decides to engage himself/herself to the employment of the National University anytime during the duration of his contract, then the change of his/her status from Contractual to Probationary shall be subject to the following guidelines:

- 7.2.1 The immediate supervisor of the contractual employee has initiated the request to HR and submitted a Manpower Request Form endorsing the contractual employee for the post.
- 7.2.2 Upon approval of the MRF, the HR can prepare the Personnel Action Notice Form. Upon receipt, HR shall discuss the possibilities with concerned employee.
- 7.2.3 Once the employee agrees, then HR shall prepare the Probationary Employment Contract for signing of the employee.

7.3 From Part-time to Full-time Teaching Personnel

The change of status from part-time to full-time shall be subject to the submission of the intent letter and approval of the Campus Academic Head basing on the recommendation of the Dean due to the faculty's outstanding teaching performance. The faculty should comply with the basic requirement for the Teaching Personnel.

7.4 From Full-time to Part-time Teaching Personnel

The Full-time faculty may apply for the part-time status if the faculty is not able to complete a master's degree or the teaching load is insufficient to have the status of a full-time faculty.

7.5 From Administrative Support Personnel to Faculty

ASP and Officials who wish to leave their current post to be a fulltime faculty may submit a request for transfer. This is considered employee-initiated transfer which is temporary in nature. However, the employee may request for a permanent transfer subject for approval.

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- 7.5.1 All Officials shall be subject to faculty ranking system, following its usual process and guidelines to determine the official's faculty rank.
- 7.5.2 HR will provide the initial faculty rank based on the employee's submitted documents for 201 file.
- 7.5.3 The deliberated and approved Faculty Ranking Paper shall be presented to the concerned employee for his/her conforme.
- 7.5.4 There will be no change in salary and benefits for all temporarily transferred ASP or Officials to Faculty rank during the approved duration of transfer.
- 7.5.5 The temporary transfer may be for a minimum of one (1) and maximum of three (3) continuous terms. This will be supported by the Personnel Action Notice (ADM-HR-F-015).
- 7.5.6 The following will be the basis for approval of transfer:
 - a. Complete submission of all requirements in reference to faculty rank
 - b. No unexpunged disciplinary action
 - c. Transfer request is endorsed by Immediate Head, Division VP/EVP/Executive Director
 - d. Approved manpower requirement in Academics
 - e. Identified personnel to cover the post temporarily vacated or any management plans to ensure business continuity with the absence of the current incumbent.
- 7.5.7 The concerned College Deans will facilitate the encoding of the teaching load of ASP or Officials in the National University Information System (NUIS).
- 7.5.8 After the duration of transfer, the employee may opt to file another request for transfer, which will be subject for usual approvals.

7.6 From Faculty to Administrative Support Personnel/Official

All transfer of Regular Fulltime Faculty to a University Official post may be facilitated through management-initiated transfer.

- 7.6.1 Any salary adjustment will be based on appropriate job rank subject for usual approvals.
- 7.6.2 All details of transfer including the duration, if applicable, will be reflected in the Personnel Action Notice (ADM-HR-F-015). The duration may be in reference to any corporate plans.
- 7.6.3 If the Official opts to return as a Faculty Member, he may submit a letter of intent which is subject for usual approvals including availability of manpower/headcount.

7.7 Re-Hiring of Faculty

Re-hiring of faculty may be accommodated, provided the faculty had no disciplinary action upon separation from NU. Further, attainment of a master's degree is a requirement to qualify for full-time probationary status. Otherwise, the faculty may be rehired as part-time faculty only.

The requirements for re-hired faculty regularization are as follows:

- 7.7.1 Rendered a minimum of three (3) and maximum of six (6) continuous terms.
- 7.7.2 Received a rating of at least four (4) or Meets Expectation (ME) in all SPES records.

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- 7.7.3 Received an average OTE Rating of 4.51 during the probationary period and should not get a score lower than 4.51 in any evaluation.
- 7.7.4 Produced at least one (1) Scopus-indexed research during the probationary period. The published research should include National University – Philippines as the official institution.

SECTION 8: EMPLOYEE MOVEMENT, TRANSFER AND PROMOTION

8.1 National University achieves its goals by assigning the most qualified people in the most suitable position. To realize this, the National University ensures that qualified employees move across the organization and/or up the organizational ladder to draw out the best competencies from them.

When a lateral movement of an employee is necessary, the department's supervisor or the employee concerned may request for transfer, provided that:

- the transfer is covered by an approved Manpower Requisition Form and Request for Lateral Transfer Form;
- the employee meets the job specifications;
- the employee's immediate superior endorses the transfer; and
- the receiving department head is amenable to the transfer.

8.2 In all cases, it is management's prerogative to place employees in a position where they are deemed effective and efficient in the organization. Hence upon very satisfactory performance, the management reserves the right to promote any personnel to a higher position the personnel will deem fit. The personnel upon promotion shall enjoy the benefits and salary adjustment of the position he/she is assigned to.

- Promotion to a higher position may be upon application by the employee or endorsement of the immediate superior or Unit Director. The application or endorsement shall be made immediately once a post is announced open.
- Seniority is not a factor to be considered in promotion but the commensurate abilities and proven performance of the employee.

8.3 The HR Campus Lead informs the employee and hands over the appointment through the Personnel Action Notice Form. HR then adjusts the NU system based on this movement.

8.4 A regular Faculty who wishes to change status to non-teaching personnel or a regular Administrative Support Personnel who wishes to change status to faculty should resign from his/her current position. He/she shall formally apply for the faculty/non-teaching position and shall be considered a new applicant covered by CHED rules and directives.

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SECTION 9: FACULTY RANK AND PROMOTION

9.1 Every faculty member of National University is appointed to a specific faculty rank. Each faculty rank describes the criteria for advancement. In some instances, it reflects the professional and academic achievement expected of faculty in various roles. The faculty ranking matrix is used as an instrument to evaluate the rank of the faculty (Annex B 2023 Faculty Ranking System).

9.2 The faculty rank and promotion cover all teaching positions involved in instruction, research, and community extension activities of NU.

9.3 Responsibilities

9.3.1 Faculty Members

The faculty should fill out the application form for academic ranking, except for newly hired teaching personnel. The faculty should prepare and submit the necessary documents for academic ranking purposes.

9.3.2 Faculty Services Office

- The office validates all submitted documents. Original documents must be presented to the FSO for authenticity verification. All photocopied documents are stamped, signifying authenticity upon presenting the original copy.
- The FSO prepares the evaluation of faculty rank.
- The FSO schedules and presents the faculty rank evaluation to the Faculty Ranking Committee for deliberation.

9.3.3 The Faculty Ranking Committee

- The Faculty Ranking Committee validates the faculty rank evaluation.
- The committee formally recommends to HR and the Campus Head the results of the conduct of faculty ranking.

9.3.4 Human Resources

- Endorses the ranking results to the Campus Head for the approval of recommended academic rank.
- Informs the Payroll Office of the salary adjustment of faculty based on the list of newly approved faculty ranks.

9.3.5 Campus Head

Approves the academic rank recommended and endorsed by the Faculty Ranking Committee and Human Resources.

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9.4 Faculty Ranking Policy

9.4.1 For newly hired faculty members

- The newly hired faculty members are ranked upon hiring.
- Newly hired faculty not immediately ranked are given the lowest faculty rank of Instructor 1 (academic track, full-time or part-time faculty) or Lecturer 1 (industry practitioner track) as temporary faculty rank. Once approved, the temporary rank will be changed to the appropriate rank, and the salary will be adjusted commensurate to the approved rank.
- Incomplete submitted documents by newly hired faculty members will result in the lowest faculty rank (Instructor 1 or Lecturer 1).
- A separate faculty matrix will be used for ranking for the academic and industry practitioner track.

9.4.2 For onboard faculty members

- The regular application for promotion to a higher rank is open every year from May to June. Only applications with complete documents will be considered for ranking deliberation.
- Any onboard faculty member may apply for a higher rank provided they satisfy the specific requirements of the rank they are applying for (see [Annex B 2023 Faculty Ranking System](#)). A separate faculty matrix will be used for ranking teaching professionals (academic track) and industry professionals (industry practitioner track).
- A faculty is qualified for promotion by one higher rank per academic year except for faculty who recently completed a master's degree or doctoral degree.
- A faculty who completed the master's degree or doctoral degree in the middle of the term will be re-ranked the next term upon submission of their latest TOR and/or diploma.

9.4.3 The recommendation of the Faculty Ranking Committee is final. No submission of additional documents of onboard faculty will be accepted after the deliberation.

9.4.4 The promotion of a faculty to a higher rank shall be recommended by the Faculty Ranking Committee, endorsed by HR, and approved by the Campus Head.

9.4.5 Additional faculty ranking guidelines are stated in [Annex B](#).

SECTION 10: JOB SECURITY

Job security to many is an assurance (or lack of it) that an employee has about the continuity of gainful employment for his or her work life. Job security usually arises from the terms of the employment contract and is discussed in collective bargaining agreement or other labor legislations that prevents arbitrary termination, layoffs, and lockouts.

In this regard, National University seeks to provide all regular employees with security of employment consistent with conditions over which it has control. Hence, it stabilizes employment insofar as practicable through careful planning and balancing of operational requirements.

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When fluctuations in personnel requirements occur, National University tries to avoid layoffs by transferring personnel within the institution. Preference will be given to employees having greater seniority provided they have the necessary qualifications.

SECTION 11: SERVICE RECOGNITION

A University wide Service Awarding is held every year during its Foundation Day ceremonies. All employees, Teaching and Non-teaching, who have rendered 5, 10, 15, 20, 25, 30, 35 and 40 years of fulltime service are recognized.

Commendation awards for exemplary/excellent performance may also be given to deserving employees during this event. The exemplary/excellent performance award shall be recommended by the Unit Director, endorsed by the VP or Campus Head, and approved by the President.

Human Resources Office shall finalize the list of Service Awardees based on the following criteria:

- Completed full time work engagement with NU and continuous 5, 10, 15, 20, 25, 30, 35 and 40 years of service as of August 1
- Those with completed years of service from August 2 to December 31 of the calendar year shall be included in the list of awardees in the following calendar year

Service awardees will receive during the awarding ceremony a plaque of recognition and a special token.

SECTION 12: CERTIFICATE OF EMPLOYMENT

The University issues Certificate of Employment (COE) for the following purposes: employment, visa processing, financial applications, purchase requirement, for legal reasons if needed, etc.

This shall be applicable to all active or inactive employees of the University. A corresponding amount shall be paid by the inactive employees who will be requesting a copy of their COE.

The following are the signatories for Certificate of Employment:

- Human Resource Senior Director – COE without salary details
- President – COE with salary details

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CHAPTER 4 WORK REGULATIONS

Work rules and regulations guide and direct everyone to an orderly behavior at work, support work ethic and promote a culture of productivity.

SECTION 1: POLICY STATEMENT

Productivity is achieved by the actual presence of the employee during the prescribed working hours. Attendance at work is a big factor in the furtherance of customer satisfaction. It is also reflective of the values the school promotes among its people. National University fairly and justly compensates the official presence of the employee consistent with government rules and regulations. HR shall maintain an accurate record of daily attendance which forms the basis of the employee's corresponding pay during a given period.

SECTION 2: WORK SCHEDULE

2.1 Work Schedule for Administrative Support Personnel

2.1.1 **Regular Work Week.** Employees shall report for work six days a week, eight hours a day and half day on Saturdays.

Monday to Friday	8:30 A.M. – 5:30 P.M.
Saturday	8:30 A.M. – 12:30 P.M.

2.1.2 **Saturday Work.** Although a four-hour work day, Saturday is fully-paid as a whole day work. Unit Heads may, at their discretion, extend work when necessary until 5:30 PM. Overtime work on a Saturday starts at 5:30 P.M.

- a. During enrolment and registration period, the management has the prerogative to require all ASP employees to report for work whole day of Saturday or selected units only.
- b. Whenever seminars, workshops, trainings and other institutional activities are held on Saturdays, employees are obliged to stay for the entire day. Those who do not attend shall be marked absent.

2.2 Work Schedule for Faculty Member. Teaching personnel shall report for work according to the class schedule given to them by the Program Chair/Coordinators/Director, which shall be the basis for the computation of the monthly pay.

- 2.2.1 A Full-Time Faculty (regular and probationary) is paid based on monthly rates which one is expected to:
- a. Render forty (40) residency hours per week;

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b. Teach fifty-four (54) credit units a year usually divided into 18 credit units per term.

2.2.2 A Part-time faculty pay is based on hourly rates depending on rank and is released bi-monthly within the term under these conditions:

- a. Part-time contracts are on a term basis;
- b. Part-time faculty members shall be paid on the days actually worked. In the event classes are called off due to force majeure or as declared by the University, there being no work, part-time faculty members shall not be paid for those particular days. However, regular holidays shall be paid according to the provisions of the Labor Code.

2.3 Flexible Time Arrangement. All employees shall abide by the work schedule as defined in item 2.1 and 2.2 above. However, National University may also allow flexible time for selected employees. Flexi-time employees are those who, by the nature of their job, necessarily render flexible time.

2.3.1 Employees are required to be present for work during the workday established for them by their supervisors. However, depending on the need of the Unit and upon approval of the VP of the corresponding Unit, reporting time may vary as in the case of the maintenance and laboratory personnel whose schedule is endorsed by the immediate superior.

2.3.2 Faculty are required to be present for work during the workday established for them by their Dean/Program Chair/Coordinator. However, depending on the need of the College/School and upon approval of the Campus Academic Head, reporting time may vary as in the case of the maintenance and laboratory personnel whose schedule is endorsed by the immediate superior.

2.3.3 All duly approved flexitime working hours assignment shall be submitted to the HR for proper referencing and recording prior to implementation.

2.3.4 Middle and upper management may be allowed to have a flexitime but shall still follow the 8-hour per day work. The middle/upper management shall be responsible for the output and disposition of work in the Unit under them.

2.4 National University reserves the option to change or modify work schedules depending on operational requirements and emergencies.

2.5 The immediate superior shall be fully responsible for monitoring the employee's use of man-hours.

2.6 Breaks

2.6.1 National University Teaching Personnel shall have a scheduled one-time 15 minutes paid breaks per day. The Unit Director should assign the personnel a staggered schedule of break so the Unit may still be manned, open and function normally throughout the day.

2.6.2 National University ASP employees shall have a scheduled one-time 15 minutes paid breaks per day. The Unit Director should assign the personnel a staggered schedule of break so the Unit may still be manned, open and function normally throughout the day.

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2.7 Lunch Break. All employees are required to take a 60-minute lunch break. No employee is authorized, without prior supervisory approval, to perform work during the specified lunch period by management. In cases where there are multiple staff in a particular Unit, the Unit Head may assign the personnel a staggered schedule of lunch break so the Unit may still be manned, open and function normally even during lunch period. For lunch or meals, the policy is:

- a. Field and Office employee lunch break is 60-minutes.
- b. The lunch period is unpaid.
- c. Unit Director shall schedule a staggered lunch break period for the people in the Unit for a 1-hour period between 11:00AM to 2:00PM depending on the work load of the Unit.

2.8 Work Arrangements. In order to ensure work safety and business continuity, the University created the Health and Safety Committee (HESACom) in charge of identifying the weekly work arrangement based on the external and internal factors, namely:

- a. External Indicators – quarantine status, alert level and positivity rate (based on DOH reported daily census)
- b. Internal Indicators – positive cases of NU employees per campus (Officials and Administrative Support Personnel – direct hired)

2.9 Work From Home Output. In the event of WFH work arrangement, a daily WFH detailed output should be included in the weekly output to be submitted to concerned Executive Committee head.

SECTION 3: RECORDING HOURS WORKED

All employees are required to keep a record of hours worked which is the basis of payment of salary.

3.1 All employees, whether ASP or Teaching Personnel, shall record their attendance through the biometrics finger scanning system.

3.2 Data recorded in the biometrics system shall be the basis for payment of salaries and wages. Each employee must register the time he/she arrives in the campus and the time he/she leaves. Thus, a complete and valid entry for each day contains the following:

- Time-in - to record the time of arrival or start of shift
- Time-out - to record the time of departure from work or end of shift

3.3 All employees are expected to adhere to integrity in the recording of the time in and out. Hence for offenses such as omissions, the employee will be receiving sanctions.

3.3.1 **First Omission:** Each employee must have a valid 'Time in' or 'Time out' entries on the daily time record. In case either one is missing, the employee must submit a written explanation for not registering the 'Time in' or 'Time out' within twenty-four (24) hours. The immediate superior certifies the explanation.

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3.3.2 **Second Omission:** On the second omission within a given month, the employee shall be paid equivalent to four (4) hours for the day. A written warning will be issued after two (2) missed clocks.

3.3.3 **Third and Succeeding Omissions:** On the third and succeeding omissions within a given month, the employee shall be paid equivalent to one (1) hour for each day.

3.4 Working days without entries are considered absences subject to the policy on leave of absence.

3.5 In case of power failure, or fortuitous events, or some technical problems with the biometrics machine, employee shall record their time of arrival and departure by signing in an attendance logbook in their respective Colleges/Schools.

SECTION 4: OFFICIAL BUSINESS

4.1 Official Business Defined

Official Business (OB) is work done outside National University to transact business on behalf of the school, such as but not limited to represent the National University in conferences, seminars, trainings, events, organization meetings, CHED meetings and representations. This also includes all travels by the messenger, liaison and other personnel tasked to coordinate with the other offices in relation to the needs of National University, such as but not limited to the Local Government Unit, SM offices, banks, other campuses among others.

4.1 Reporting

A transaction or travel shall be considered official business when duly reported to the National University.

4.1.1 An employee who will go on OB must apply online two (2) days before the scheduled OB to be duly approved online by the immediate superior and noted by HR.

4.1.2 Where the employee goes straight out to the place of OB, the employee may not log-in for the first hour of work in the morning provided the immediate superior approves it. Likewise, logging-in and out in the afternoon may be waived if there is not enough time to report back to work. The attendance of the employee shall be based on the approved OB.

4.1.3 If the OB takes two or more days, the filing of the OB application is five (5) working days from the date of OB to give the department ample time to adjust affected work schedules.

4.2 Non-compliance to the above requirements shall be construed as an absence or under time on the part of the employee.

4.3 For an 'Urgent' need for an OB, the reason must be stated in the purpose box provided in the form. In this case, the OB may be filed on the same day.

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4.4 Incidental Costs

Any incidental costs occurred during an Official Business representation may be endorsed for reimbursement under the policies set by the Accounting Office.

SECTION 5: ATTENDANCE AND REPORTING FOR WORK

- 5.1 National University employees are expected to be present for work, on time according to their schedule of class/work. Regular attendance and punctuality are important for smooth operation of your team and the University as a whole. Absenteeism causes disruptions and burdens colleagues.
- 5.2 The attendance record is part of the performance evaluation rating. It will also be considered for other disciplinary action, including termination. Hence, employee is expected to report on their work on schedule and on time.
- 5.3 Absence is the failure to report for work due to any reason. Any absence disrupts the smooth flow of work and unduly increases the burden on the rest of the College/School. Frequently absenting oneself from work justifies corrective measures. Excessive absenteeism and/or tardiness will lead to disciplinary action, including termination. Absence from work for six (6) consecutive days without properly notifying the Dean/Program Chair/Coordinator is considered abandonment of work and is subject to dismissal.
- 5.4 Absences due to illness, valid personal reasons, emergencies, force majeure may be excused as evaluated and approved by the Dean/Program Chair/Coordinator. The employee must notify the immediate superior by any means, on or before the first working hour of the day of the impending absence. The employee should file this under the sick leave to be approved by the immediate superior.
- 5.5 If the immediate supervisor is not available, contact the Human Resources office prior to the start of the workday and leave a contact number to enable the supervisor to return call. Failure to properly inform the supervisor will result to an unexcused absence which is subject to disciplinary measures.
- 5.6 Absence without authorized leave or failure to file an official leave of absence is inexcusable and shall be charged against the employee's salary.

SECTION 6: TARDINESS AND UNDERTIME

- 6.1 Each employee is important to the overall success of National University operations. When not at one's post, someone else must do the job. Thus, each one is expected to report for work on time at the scheduled start of the workday. Reporting for work on time means that one is ready to start work, not just arriving at the scheduled starting time.

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6.2 Habitual tardiness shall adversely affect one's performance evaluation and consequently affect chances of promotion, salary increases and continued employment with National University.

Tardiness means reporting for work late or beyond the starting time.

6.3 **Uvertime** means abandonment of work before the dismissal time. Like tardiness, it is a violation of the rules on work hours. The faculty shall fill up an Uvertime Authorization Form and shall be duly approved by the immediate supervisor/Director to be considered authorized. However, due to diminished work rendered, the total hours of overtime will be charged against sick leave credits and its frequency will be monitored for corresponding sanction like tardiness.

6.4 **Tardiness** and/or **unauthorized under time** with sanction shall mean incurring an aggregate of fifteen (15) minutes or more within a pay period as illustrated below:

Length of Tardiness & Under time	Sanction
Less than 15 minutes within a pay period (Pay Period 1: 1st – 15th of the Month) (Pay Period 2: 16th – 30th of the Month)	Grace period; no deduction
Tardiness and / or under time per pay period of: a. 15 to 29 minutes b. 30 to 59 minutes c. 1 hour to 1 hour and 30 minutes d. 1 hour and 31 minutes to 2 hours	Equivalent number of hours deducted to basic salary on the next payroll cut-off: a. Thirty (30) minutes b. One (1) hour c. One (1) hour and Thirty (30) minutes d. Four (4) hours or equivalent to half day

6.5 **Habitual tardiness** means incurring four (4) or more tardiness within a pay period. It carries the following disciplinary sanctions:

Schedule of Offenses and Disciplinary Measure					
Occurrence	1st	2 nd	3rd	4th	5th
Sanction	Written warning	2 nd Written warning with Warning of Suspension	6 Working Days Suspension	12 Working Days Suspension	Dismissal

6.6 A penalty of suspension shall be with the approval of the Vice President for Operations or Executive Director while the penalty of dismissal shall be approved by the President/CEO.

SECTION 7: OVERTIME

7.1 Occasionally it may be necessary for an employee to work beyond their normal work hours in a day or week. Overtime pay is paid only when work is approved and made known to you in advance by your supervisor. Under no circumstances shall an employee work overtime without the prior approval of their supervisor.

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7.2 The computation of overtime compensation shall be based on the government mandated compensation scheme. A duly approved and authorized work beyond one (1) hour conducted before or after shift/schedule shall be considered overtime work.

7.3 Overtime shall not be used to offset tardiness and under time. Any employee asked to work overtime will be expected to rearrange his/her personal schedule to work the requested overtime.

7.4 The immediate superior of the employee shall be responsible for monitoring the overtime work.

7.5 The employee should have an Overtime Authorization Form filled out and approved by the immediate supervisor and the Unit Director to be considered for OT pay. The said Slip shall be submitted to the HR prior the cut-off of the pay period to be able to be included in the current pay period. Or else, it will be included in the next pay period.

7.6 Employees who may have tardiness and/or undertime shall not be allowed to render overtime work within the same day unless on urgent and emergency work.

SECTION 8: REST DAYS AND HOLIDAYS

8.1 **Rest Days.** Sundays are normally the designated rest days for employees. Since rest days are not considered paid, any work rendered on such rest days shall be paid in accordance with the Labor Code. The immediate superior or Unit Director may require the employee to work on a rest day on the following conditions based on the provisions of the law:

- 8.1.1 In case of actual or impending emergencies caused by serious accident, fire, flood, typhoon, earthquake, epidemic or other disaster or calamity to prevent loss of life and property, or imminent danger to the university;
- 8.1.2 In cases of urgent work to be performed on the machinery, equipment, or installation, to avoid serious loss which the employer would otherwise suffer; and
- 8.1.3 In the event of abnormal pressure of work due to special circumstances and deadlines, where the employer cannot ordinarily be expected to resort to other measures.

8.2 **Legal Holidays.** National University strictly observes declared holidays and special non-working holidays. Only authorized employees may report for work during holidays.

8.3 **Work on Holidays.** Full-time employees will be paid for the holidays worked provided the employee was present on the workday immediately before the holiday or had an approved leave. If a paid holiday falls within an employee's vacation period, the holiday will not be counted as a vacation leave.

8.4 **Pay.** Any work performed during the rest day and holidays shall be subject to just and reasonable compensation as provided for by the Labor Code. The additional pay shall be applicable to all employees of National University.

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SECTION 9: SUSPENSION OF WORK

- 9.1 In case of inclement weather when there is no explicit announcement that regular office/ work is called off, employees may opt to use their (emergency) vacation leaves.
- 9.2 National University strictly follows government directives, announcements and declarations during typhoons, calamities, and national emergencies.
- 9.3 The President or his authorized representative shall have sole discretion to declare suspension of work as the local circumstance warrants. The announcement shall be made through the HR.
- 9.4 **Skeletal Force.** If work is suspended, the Vice President for Operations or Executive Director, may request the electrician, plumber and other positions to report or stay for work. They shall be paid as provided for by Law.

SECTION 10: OFFICIAL TRAVEL POLICY AND GUIDELINES

- 10.1 Purpose:** The Purpose of travel policy is to ensure that the travel expense of the University is controlled by establishing certain standards. Employees must control business travel expense by making the sound judgment with respect to the use of University funds. Travel is an important aspect for carrying out the business, hence, it is expected from employees that they will follow the Travel Policy of the University. It is also meant to reimburse the amount spent by an employee when on international, domestic, or short distance travel.
- 10.2 Scope:** The policy and guidelines include all the employees, teaching and administrative support personnel, of the University. This includes all local (whether land travel or with air travel) and international travels. This also covers the travel policy for short travels to the offices or agencies that the employees need to go to for meetings, seminars, conferences, and others. Non-adherence with policy while on business travel for University's business shall result to stringent disciplinary action which may even lead to termination.
- 10.3 Policies and Guidelines:**
- 10.3.1 A travel request must be approved before proceeding on any international or domestic travel. No local or international travel shall be made without the prior approval.
- 10.3.2 Any employee who requires travelling on an official business purpose must get the approval in advance by the Unit Director and/or Executive Director/Vice President of the Unit where the employee belongs. Any international or domestic travel request must be raised using the Official Business Travel Form. The Requestee shall agree to follow the University travel policy and procedure.

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- 10.3.3 If there is any change in the travel (domestic or international) due to any reason and it is more costly than the approval that has already been taken, a fresh travel request needs to be raised.
- 10.3.4 The details of the travel must be explained on the travel request form in case there is an exception, and it needs to be approved by the director and/or Executive Director/Vice President of the Unit from which the employee belongs.
- 10.3.5 For international and local travels, all employees are expected to travel only to places which are allowed as per the University's guidelines and that no travel ban has been imposed on the said place. No exception in this regard will be entertained.
- 10.3.6 The duly approved Travel Request Form shall be sent in hard copy or via email to the Purchasing Unit for the necessary hotel and trip arrangements and to the Finance department to get the travel cash advance. As per the Travel Request Form, all reservations, or bookings, especially for local and international travels will be made by National University through its authorized travel agency.
- 10.3.7 Food expenses incurred during the travel are allowed only as per the limit of entitlements. The HR Office shall provide the list the entitlements for food expenses allowable for reimbursement. The University policy states that expenditure occurred on meals (breakfast, lunch, or dinner) will be reimbursed while the employee is on official business travel. In the case of business travel wherein food expenses are taken care of by the client, in such case, only incidental expenses can be claimed.
- 10.3.8 No expense will be reimbursed for alcoholic beverages or cigarettes, etc.
- 10.3.9 In case an employee gets ill while on business travel, the expenses occurred while taking the treatment will be reimbursed on actual bill and doctor's prescription. However, if the illness is for more than 3 days, special approval needs to be taken from the Unit director and/or Campus Executive Director/Vice President of the Unit.
- 10.3.10 The expense report with the travel request submitted to the Finance department must consist of the original boarding pass and travel tickets and a complete travel report-maintained date-wise. Any deviation from the travel itinerary shall be approved by the business head/director as applicable.
- 10.3.11 In case an employee wants to combine business stay with personal vacations, it must be duly approved by the Unit Director and/or Campus Executive Director/Vice President of the Unit. It should be noted that no reimbursement would happen for any personal expense.

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10.3.12 Employees are expected to take the lowest fare (whether car, train, or airplane) while travelling. By considering the lowest travel fare, common sense needs to be applied as the expense must not exceed the amount mentioned in the travel policy.

10.3.13 In case of non-compliance with the travel policy, the extra amount paid will be shouldered by the employee.

10.3.14 It is expected from the employee that they will ensure that the hotel room rate is booked and charged as per the University's policy. Any exception in terms of hotel stay must be approved by Unit Director and/or Campus Executive Director/Vice President of the Unit before the start of travel.

10.3.15 In case there is a change in schedule, the cancellation of the reservation made will be done by referring to the hotel policy on cancellation.

10.3.16 Any kind of travel expenses occurring for guest or family member will not be reimbursable. However, spouse/guests can share the accommodation provided there is no additional cost to the University.

10.4 Expense Reports

10.4.1 All expenses report, whether due for liquidation or reimbursement, must be submitted within 15 days of return from a business trip. If reports are delayed for more than 15 days, it will be considered late, and no reimbursement will be made, or the cash advance shall be deducted from the salary of the employee.

10.4.2 In case the business travel is for more than a month's time, expense report must be submitted on a weekly basis via email.

10.4.3 The expense report must have the following items:

- Travel request form.
- Actual expense bill related to the meal, transportation etc.
- If possible, the employee must also try to submit expense bill on miscellaneous articles.
- Any exception made to the employee must be attached to the expense report.

10.4.4 Expense Payment

- All the expense payment is made by the finance department.
- The expense report along with the bill is submitted to the finance department who in turn validates the bills and makes the payment to the employee account.

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- 10.5 Per Diem and Entitlements:** For purposes of clarity and fairness, the HR and Finance Services shall determine the amount of per diem and entitlements of employees on official business travel. These entitlements and rates shall be subject to adjustments from time to time based on annual budget.
- 10.6** The University reserves the right to revise, modify any or all clauses of this policy depending upon the demand of the business. The HR Office shall be the sole authority to interpret the content of this policy.

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CHAPTER 5

WAGE AND SALARY ADMINISTRATION

This chapter deals with the preparation of wages and salaries, the components, deductions, requirements, and procedures to facilitate payment of employees' earnings.

SECTION 1: POLICY STATEMENT

National University shall ensure accurate determination and prompt disbursement of wages and salaries. It shall maintain standards as guide for appropriate methods of payments and the administrative procedures involved.

SECTION 2: FREQUENCY, CUT-OFF PERIOD AND PAY DATES

The monthly salary/wage and benefits shall be given to the employees on the following manner:

2.1 **Frequency:** Twice a month

2.2 **Pay Dates:** Every 15th and 30th/31st of each month. If the payday falls on a holiday, Saturday, or Sunday, payment is made on the preceding workday or the last working day of the month, in the case of the end of the month pay date.

2.3 **Cut Off Periods:** (subject to change as deemed necessary)

<u>Pay Dates</u>	<u>Covered Period</u>
15th day	26th day of the previous month to the 10th of the current month
30th / 31st day	11th day to the 25th day of the current month

SECTION 3: PAYROLL REQUIREMENTS

3.1 National University's centralized hiring policy requires that all wage and salary payments be supported by appointment contracts and other documents are processed through the Human Resource. The HR and Payroll Office shall reserve the right not to process the payment for the employee or teaching personnel in the absence of the proper documents submitted to the HR.

3.2 No wages or salaries are to be paid through petty cash or revolving funds.

3.3 Payroll deductions include compulsory deduction and other deductions by way of authorization. Deductions from absences without pay shall be computed based on the gross monthly income of the employee (basic rate plus other income).

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3.4 The following are the mandatory monthly deductions, regardless of status or appointment, as provided by law:

- Withholding Tax
- Social Security System (SSS) Premium
- Pag-IBIG (HDMF) premium
- PhilHealth premium
- Other deductions that may be required by the applicable Collective Bargaining Agreement (CBA)

3.5 To be included in the payroll, and in compliance with Bureau of Internal Revenue (BIR) and Social Security System (SSS) regulations, all new hires are required to provide the Human Resource the following:

- BIR Application Form 1902 or Form 1905 for updates
- Photocopy of the Tax Identification Number or BIR ID (if available)
- Photocopy of SSS Membership Record (Form E-1) or SSS digitized ID
- Photocopy of SSS Member's Data Change or Addition Report (Form E-4), if applicable
- Photocopy of PhilHealth ID
- Certificate of Withholding tax from previous employer (BIR Form 2316)

3.6 Upon employment, the following permanent numbers must be acquired by each employee to facilitate transactions with the respective government offices concerned:

- Taxpayer Identification Number (TIN), which is provided by the BIR through the National University (if first employer)
- SSS ID Number is obtained by filing SSS Form E-1
- BIR Form 1902 (Formerly Form W-4) and SSS Form E-1 and E-4 are available at the Payroll Office.

SECTION 4: WITHHOLDING TAX ON EARNINGS

4.1 Revenue regulations require National University to deduct withholding taxes from the employee's earnings every payroll period. The taxes withheld are remitted monthly to the BIR and credited towards employees' respective income taxes for the calendar year.

4.2 The amount of tax to be deducted is determined by rates established by the BIR. This amount varies according to the taxpayers' earnings, his/her personal status and the number of his/her dependents as reflected in his/her withholding tax exemption certificate (BIR Form 1902). BIR Form 2316, indicating total gross earnings and total amount of tax withheld for the calendar year, is available at the Payroll Office shortly after the end of each calendar year.

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SECTION 5: SOCIAL SECURITY, PHILHEALTH, Pag-IBIG FUND CONTRIBUTIONS

- 5.1 The law requires that monthly deductions be made from employee's earnings for their Social Security, Pag-IBIG (HDMF) and PhilHealth contributions. National University, as employer, contributes corresponding amounts. These are remitted monthly to the SSS, PhilHealth, and Pag-IBIG respectively.
- 5.2 These SSS, PhilHealth and Pag-IBIG contributions entitle member-employees and their families to a variety of benefits. Informational brochures are available at the Human Resource Office and Payroll Office.

SECTION 6: OTHER PAYROLL DEDUCTIONS

- 6.1 Other deductions may be made from the employee's pay upon his/her authorization. Among these are: dues in employee associations/organizations, payment of loans from National University, or SSS, limited payment of tuition accounts, retirement contributions, SM Savings and Loan contribution and loan payment, and others. Loan payments to SSS and PAG-IBIG, as well as retirement contribution involve mandatory deductions from the employee's salary.
- 6.2 While some other deductions are made at the employee's request, the National University reserves the right to decide what other deductions may be allowed. The total deductions should not be more than 40% of the total take home pay of the employee.

SECTION 7: PAY STRUCTURE

National University computes the salary as follows:

- Regular Monthly Gross Pay
- Basic Pay
- Other Income
- Overtime Pay
- Deductions:
 - Day/s Absent
 - Tardiness and Under Time
 - Withholding Tax
 - Employee Share (SSS, PhilHealth, Pag-IBIG)
 - SSS Loan Amortization
 - E-Card Payment
 - SLA Contribution
 - Others

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SECTION 8: PAY COMPUTATION

8.1 The employee pay shall be computed based on the number of days for a 6-day work week schedule as prescribed by the law. To compute for the Daily rate as the basis for the pay additions and deductions shall be as follow:

$$\frac{\text{Monthly Rate X 12 months}}{312\text{days}} = \text{Equivalent Rate per Day}$$

8.2 The additional pay for overtime and night differential shall be based on the rate prescribed by law.

- | | |
|-------------------------------------|---|
| ▪ Overtime Pay for Regular Days | Basic hourly rate X 125% |
| ▪ Overtime Pay for Rest Days | Basic hourly rate X 130% |
| ▪ Overtime Pay for Special Holidays | Basic hourly rate X 130% in excess of 8 hours |
| ▪ Overtime Pay for Legal Holidays | Basic hourly rate X 200% |
| ▪ Night Differential | Basic hourly rate X 10% (from 10pm to 6 pm) |

8.3 The computation of the pay of the faculty is based on the credit units.

8.4 The Full-time Faculty is assigned twenty-four (24) credit hours of teaching load per term and required to render a forty (40) hour work week.

8.5 The assignment of additional load/overload to a full-time faculty shall not exceed the equivalent of a 6-unit regular teaching load per school year per faculty member. Overload payment shall be computed as follows:

$$\text{Excess Credit Hours} \times 13.5 \text{ weeks} \times \text{Overload Rate} = \text{Overload Payment}$$

8.6 The Part-time Faculty is assigned the credit units according to the contracted number per term. The computation of the monthly rate shall be as follows:

$$\text{Rate per hour} \times \text{number of hours rendered (per cut off)} = \text{Semi-Monthly Rate}$$

8.7 There shall be “No Work, No Pay” policy for Part-time Faculty.

8.7.1 Tardiness and absences shall be computed based on the hourly rate of the Part-time Faculty.

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SECTION 9: MANNER OF SALARY RELEASE

The payment of salaries and benefits shall be made through BDO/China Bank ATM Debit Card. Hence, all employees are required to secure their own BDO/China Bank ATM Debit Card at the onset of its employment.

SECTION 10: PAY ADVANCES

Pay advances are not allowed in any circumstance.

SECTION 11: PAYROLL COMPLAINT PROCESS

For those who may have payroll adjustment requests, the following must be observed:

- a. Accomplish a Payroll Dispute Form;
- b. Indicate the date of payroll and the amount of deductions;
- c. Attach the pay slip and other pertinent documents/records, e.g., OB, Leave form, certifications, etc;
- d. Submit all documents to the HR;
- e. HR and Payroll Office shall review the claim, and should the complaint be valid, additions and/or deductions shall be made in the pay computation and released on the next pay day.

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CHAPTER 6 BENEFITS AND PRIVILEGES

This chapter enumerates the benefits and privileges obtained by employees for their work contribution and loyalty to National University. It includes statutory benefits, government mandated benefits, and National University initiated benefits. The requisites and procedures to avail of these are also discussed.

SECTION 1: POLICY STATEMENT

National University grants all statutory and government mandated benefits. More than these, National University rewards employees' loyalty by giving other fringe benefits to take care of their family and personal welfare.

SECTION 2: STATUTORY BENEFITS

- Social Security System (SSS) coverage
- Philippine Health Insurance (PhilHealth) Membership
- Pag-IBIG/Home Development Mutual Fund (HDMF) Membership

SECTION 3: GOVERNMENT MANDATED BENEFITS

3.1 The following are the government mandated benefits that shall be enjoyed by the regular employees of National University.

- 3.1.1 Paternity Leave of fourteen (14) days as mandated by Republic Act 11210 and Republic Act 8187.
- 3.1.2 Maternity Leave of one hundred five (105) days as mandated by Republic Act 11210 and paid through the SSS.
- 3.1.3 Solo Parent Leave of fifteen (15) days as mandated by Republic Act 11210.
- 3.1.4 AVAWC Leave (Republic Act No. 9262: Anti-Violence Against Women and Their Children Act of 2004) - The Management shall grant victims under this Act a paid leave of absence up to ten (10) calendar days in addition to other paid leaves under the Labor Code extendible when the necessity arises as specified in the Protection Order.
- 3.1.5 Special leave for women refers to a female employee's leave entitlement of two (2) months with full pay from her employer based on her gross monthly compensation following surgery caused by gynecological disorders, if she has rendered continuous aggregate employment of service of at least six (6) months for the last 12 months. This two-month leave is addition to leave privileges under existing laws. This is under the Republic Act No. 9710 Magna Carta of Women, DOLE Order No. 112-11 (Guidelines governing the implementation of the special leave benefits for women employees in the private sector).
- 3.1.6 Night Differential pay of 10% from 10:00 P.M. to 6:00 A.M
- 3.1.7 Overtime and holiday premium pay
- 3.1.8 13th Month Pay

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3.1.9 Retirement benefits

3.1.10 Paid Leaves

3.2 The National University shall comply with all the government mandated benefits.

SECTION 4: UNIVERSITY INITIATED BENEFITS

Aside from all the government mandated benefits, National University shall be granting the following university benefits to all regular employees:

- Academic Year-End Bonus
- Bereavement Assistance
- Educational Benefits
- Health Care Maintenance Program
- Leave Credits
- Life and Accident Insurance
- Longevity Pay
- Medicine Subsidy
- PERAA
- Rice Subsidy
- Service Incentive Gift or Loyalty Award
- SM E-Card (optional)
- SM Hotels Employee Discount
- SM Savings and Loan Association Membership (optional)
- SMDC Special Discount
- Uniform Allowance

SECTION 5: LEAVE CREDITS

5.1 Employees are entitled for leave credits to be used either for sick leave or vacation leave filing to make up for absences due to actual illness, physical incapacity to work or vacation/leisure activities. Leave credits (Sick and Vacation leave are merged) minimum of 18 days and maximum of 30 days. Paid leave credits are granted to all regular employees. Unused leave credits at the end of calendar year shall be converted to cash based on the set ceiling / maximum.

Years of Service	Leave Credit	Convertible to Cash
Upon regularization	18	9
1 YOS	22	11
2 YOS	26	13
3 YOS and above	30	15

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- a. Five (5) day Leave Credit shall be reserved for Christmas Break. Maximum of 10 leave credit converted to cash shall be declared as de minimis benefit (no tax) and the leave credit exceeding 10 leave credit and convertible to cash shall be subject to tax deduction.
- b. Extended Quarantine or Isolation period may be filed as leave.
- c. COVID-19 re-infection due to community infection should be filed as leave

SECTION 6: LEAVE CREDITS

6.1 Employees are entitled to sick leaves to make up for absences due to actual illness or physical incapacity to work. Paid sick leaves are granted to all regular employees to allow them to rest, recuperate and re-energize, as well as to attend to personal health needs.

6.2 Sick Leave Credit

- 6.2.1 Regular full-time employees shall be entitled to sick leave benefit equivalent to a maximum of fifteen (15) calendar days, (inclusive of the service incentive leave provided by law), subject to the scheme discussed below:
- 6.2.2 Upon regularization, an employee shall receive nine (9) days of sick leave credits. Thereafter two (2) additional sick leave credits are granted each year provided it does not exceed the maximum fifteen (15) days).
- 6.2.3 For new hires whose regularization date of tenure falls in the middle of the year, or in case of resignation within the prescribed period, sick leave credits are pro-rated using the following formula:

$$PSL = (NMS \times SLC) / (12 \text{ months})$$

Where:

PSL = Pro-rated Sick Leave computation

NMS = the actual number of months in service within the prescribed period

SLC = the allotted number of sick leave credits

6.3 Sick leave benefits shall be subject to the following regulations:

- 6.3.1 Employees who are unable to report for work due to illness should inform his/her department head or the HR Office by any possible means within the day, preferably an hour before office work.
- 6.3.2 Employee on sick leave may be subject to house visitation to confirm the veracity of illness.
- 6.3.3 The employee must submit the online application for sick leave accompanied by a “fit to work certification” from the National University physician within 48 hours upon resumption of work. This must also be approved by the immediate supervisor online.
- 6.3.4 Late filing of sick leave is unacceptable. Thus, corresponding salary deduction for the absence will be administered.

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- 6.3.5 If the sick leave is more than three (3) days, a medical certificate from the employee's attending doctor or proof of hospital confinement must be presented to the National University doctor who will issue a 'fit to work' certificate.
- 6.3.6 Should an employee use up all his/her sick leave credits, succeeding leaves may be charged to vacation leave credits.
- 6.3.7 Sick leaves are non-cumulative and non-commutative.
- 6.3.8 Unused sick leaves are converted to cash.
- 6.3.9 Sick leave applications may be rejected for the following reasons:
- If the Department Head or the HR Office is not promptly notified of the absence.
 - If the application for sick leave is not filed within the prescribed time, i.e., within 48 hours after reporting back to work.
 - If the administration proves upon the confirmation of the National University physician or his representative that the employee is in fact not sick, injured or physically incapacitated to work.
 - Paid sick leave shall be invalid due to social or venereal diseases (unless contracted accidentally), one's own criminal or anti-social acts, e.g., drug addiction, suicide attempt, self-inflicted injury, and the like.

Should any of the above conditions exist, sick leave application will not be considered. It will instead be taken as Absence Without Official Leave in which corresponding sanctions may be imposed.

6.4 Unused sick leave credits at the end of the year shall be convertible to cash the following year (based on granted number of sick leave and with maximum of 15 days only).

SECTION 7: VACATION LEAVE

7.1 **Leave** means temporary relief from work by regular employees and regular faculty to make them more efficient and effective by allowing them to rest and re-invigorate, attend to personal, family affairs and emergency needs for specific period subject to management's review and discretion.

7.2 Leave Credit

- 7.2.1 Upon regularization, an employee shall receive nine (9) days of vacation leave credits. Thereafter two (2) additional vacation leave credits are granted each year provided it does not exceed the maximum fifteen (15 days).
- 7.2.2 For new hires whose regularization falls in the middle of the year or in case of resignation or within the prescribed period, vacation leave credits will be pro-rated using the following formula:

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$$PVL = (NMS \times VLC) / (12 \text{ months})$$

Where:

PVL = Pro-rated Vacation Leave computation

NMS = the actual number of months in service within the prescribed period

VLC = the allotted number of vacation leave credits

7.3 Vacation leave benefit shall be subject to the following regulations:

- 7.3.1 Application for leave of absence must be filed two (2) days prior to the intended date of leave. Otherwise, the application will not be considered.
- 7.3.2 Application for vacation leave of more than three (3) days must be filed one (1) week before the intended date of leave. Otherwise, the application will not be considered.
- 7.3.3 Vacation leave shall not be allowed during registration periods and two (2) weeks before the end of each academic session.
- 7.3.4 Vacation leave may either be half day or whole day leave.

7.4 A vacation leave is filed online (NUIS) and approved by the immediate superior and the HR.

7.5 The immediate head has the sole discretion to determine the needs of the Unit. Thus, he is authorized to re-schedule or postpone the vacation leave depending on the practicality, urgency, or necessity of work.

7.6 It is in the same manner that management reserves the right to schedule vacation leaves of employees, e.g., during the Christmas period, Lenten season, or as may reasonably be determined by management.

7.7 Any employee or faculty who goes on leave without the approval of the immediate head, or extends the approved leave without prior permission, or refuses to be re-scheduled or recalled from an approved leave without justifiable reason shall be considered Absence Without Official Leave (AWOL) and shall be sanctioned accordingly.

7.8 Absence without permission shall not be charged against the vacation leave credits, if any, and unexcused absence of six (6) days in a term shall be just cause for dismissal.

7.9 Vacation leaves are non-cumulative and non-commutative.

7.10 Unused vacation leaves are not carried over into the following year and are forfeited at the end of the year.

7.11 In case an employee or faculty resigns without serving a thirty (30) day notice, the remaining unused vacation leave shall be forfeited.

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SECTION 8: EMERGENCY LEAVE

8.1 Emergency leave with pay shall be extended to regular employees.

8.2 A regular employee may, for valid reasons, be allowed to take an emergency leave with pay for a maximum of three (3) days a year.

8.3 Emergency leave is on top of the unused vacation leave credits.

8.4 Whenever possible, an emergency leave should be submitted for approval by the immediate supervisor; otherwise, the employee/faculty must notify the HR, or the Unit concerned within twenty-four (24) hours.

8.5 The following are considered valid reasons for an emergency leave:

- Illness or hospitalization of an immediate family member, e.g., spouse, children, unmarried brother, and sister, parents.
- Domestic emergencies such as sudden urgent repairs needed at home, sudden absence of yaya or maid, and the like; and
- Calamity or accident, force majeure events that affect the life, limb, and property of the employee or his immediate family.

8.6 Failure to observe the foregoing requirements or to satisfactorily explain an emergency leave shall be subject to disciplinary action.

SECTION 9: MATERNITY LEAVE

9.1 Regular female faculty members and employees shall be entitled to maternity leave benefits in accordance with law. The maternity benefit is a daily cash allowance granted to a female member who was unable to work due to childbirth or miscarriage.

9.2 All female faculty members and employees who have paid at least three (3) monthly contributions within the twelve-month (12) period immediately preceding the semester of her childbirth or miscarriage are entitled to a one hundred five (105) days maternity leave provided the SSS has been notified through the HR.

9.3 Application for maternity leave shall be made in writing supported by a medical certificate, submitted to HR through the Unit Head.

9.4 The Maternity Notification Form must be submitted to HR together with the Pregnancy Test or Ultrasound Report at least sixty (60) days from the date of conception.

9.5 Maternity leave applies to only four (4) complete deliveries which include miscarriages and abortions.

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9.6 Compensation shall be based on SSS rules and specified salary ranges.

SECTION 10: PATERNITY LEAVE

10.1 A married male employee is entitled to seven (7) paid days of paternity leave for the first four (4) deliveries of the legitimate spouse with whom he is cohabiting. In accordance with Section 5 of the Implementing Rules and Regulations of Republic Act No. 8187 for the Private Sector, the leave may be enjoyed before, during or after the delivery but not later than 60 days after. Under RA No. 11210, or the Expanded Maternity Leave Act, any female worker who will avail of maternity leave is allowed to transfer up to 7 of her 105 days of paid leave to the child's father, whether they are married or not.

10.2 The employee must submit to HR the marriage certificate and/or birth certificate of the newly born child for record purposes prior to availing of paternity leave.

SECTION 11: SOLO PARENT LEAVE

Under the Section 18 of the Republic Act No. 8972 or the Solo Parents Welfare Act of 2000, in addition to leave privileges under existing laws, parental leave of not more than seven (7) working days every year shall be granted to any solo parent employee who has rendered service of at least one (1) year. The seven-day parental leave shall be non-cumulative.

In compliance to such act, National University shall respect the plight, rights, and privileges of a solo parent. The University shall not discriminate against any solo parent employee with respect to terms and conditions of employment on account of his/her status.

The employee shall be entitled to this leave provided that:

- They rendered at least one (1) year of service whether continuous or broken at the time of the effectivity of the Act;
- They notified their employer of the availment thereof within a reasonable period; and
- They presented a Solo Parent Identification Card to their employer.

If the parental leave is not availed of, said leave shall not be convertible to cash unless specifically and previously agreed.

SECTION 12: SPECIAL LEAVE FOR WOMEN

Under the Republic Act 9710, also known as The Magna Carta of Women, and the guidelines set forth by the DOLE under the Department Order 112-11, series of 2011, a female employee shall be entitled to up to two months of special leave with full pay from the employer based on the gross monthly compensation following surgery caused by gynecological disorders. This benefit is in addition to leave privileges (sick leaves, vacation leaves, and parental leaves for solo parents) given to employees under existing laws.

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The gynecological disorders, as defined, are those disorders that require surgical procedures, such as but not limited to dilation and curettage, and shall also include hysterectomy, ovariectomy, and mastectomy. The Magna Carta of Women Special Leave Benefits Program only covers female employees who need to undergo gynecological procedures or surgeries, whether it's a minor or a major one.

The conditions to avail of this shall be as follows:

- The female employee has rendered a continuous aggregate employment service of six (6) months for the last twelve (12) months before the surgery;
- She has filed an application for special leave.
- She has undergone a surgery due to gynecological disorders as certified by a competent physician.

This leave is non-cumulative and non-convertible to cash.

SECTION 13: EDUCATIONAL BENEFITS

Educational benefits are meant for academic advancement that deepens one's understanding of professional responsibilities. Regular teaching personnel shall be entitled to educational benefits with the following schedule:

- Employee Academic Advancement
- Scholarship for Beneficiaries
 - Spouse and Children
 - Immediate family member, if single and no child

13.1 Provisions

- 13.1.1 The privilege is good for one degree program only and may not be enjoyed for a second degree at the same level by the same beneficiary. However, it remains applicable for pursuing a higher degree.
- 13.1.2 To ensure unhampered operations, the employee shall be limited to nine (9) enrolled units per term.
- 13.1.3 Employees who avail of the academic advancement benefit may apply for graduate or post graduate studies directly related to his/her field of employment or expertise to enhance professional growth.

13.2 Faculty Development Program – Study Grant

This Faculty Development Program aims to recognize faculty members by means of financial aid in their pursuit for higher education by covering the Tuition and Miscellaneous fees for the post-graduate study. Likewise, to assist the faculty member with their study requirements, he/she may be de-loaded from teaching load up to three (3) units per term.

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13.2.1 *Requirements for Faculty Members*

- Must be a regular or probationary full-time faculty member
- With at least one year of service tenure
- No outstanding infraction or unexpunged penalty
- No other scholarship grants
- Most recent SPES rating and OTE Rating of 4.0 (Meets Expectation)

13.2.2 *Requirements for processing of scholarship grant application*

- Letter of intent addressed to the Campus Head through HR and FSO; with endorsement from concerned Dean.
- Study Plan including details of the length of study and enrollment requirements.
- The post-graduate studies should be an aligned program with the faculty's highest educational attainment and program assignment.
- Preferred universities are those ranked among the QS World University Rankings namely:
 - University of the Philippines
 - Ateneo de Manila university or Ateneo Graduate School of Business
 - De La Salle University
 - University of Santo Tomas
 - Mapua University

13.2.3 An annual fund shall be allocated for this program. The number of grantees shall then be prioritized and limited on the availability of the fund for a given Academic Year. The selection of grantees shall follow these priorities:

- Priority # 1: Faculty who intend to pursue Masteral degree or those who intend to finish their Masteral degree in Technology Programs and Allied Health Courses
- Priority #2: Faculty who intend to pursue Masteral degree or those who intends to finish their Masteral degree in other programs
- Priority #3: Faculty who intends to pursue doctoral degrees
- Priority #4: Faculty who intends to finish their doctoral degrees

13.2.4 *Requirements for Grantees*

- a. Grantees must enroll immediately upon acceptance and study continuously thereafter until the program is completed. Deferment of enrollment shall not be allowed except for reason of poor health.
- b. If a grantee withdraws or was accorded with a failing mark in any course, the corresponding tuition and other fees shall be borne by the employee grantee for this specific course.
- c. Not teach elsewhere or accept outside employment including consultancy work during the period of the scholarship grant.

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13.2.5 *Requirements in Processing of Tuition and Miscellaneous Fees*

- Grantee should forward all required documents to HR as reference for succeeding enrolments (e.g., class cards and/or certified true copies of grades obtained at the end of every term, the submission of which is a condition for the release of the grant for the succeeding period).
- The requesting Faculty Member shall be responsible in preparing their Request for Payment Form (RFP). The signed agreement shall be the attachment to the RFP.

13.2.6 *Requirements for Completion of Grant:*

- Submission of the Official Transcript of Records indicating the completion of the degree.
- Acknowledgement of the support provided by the University in the thesis or dissertation and in publications emanating from it.
- Submission of a bound copy and electronic file of the thesis or dissertation to be kept in the University Library.

13.2.7 *Grounds for Termination of Grant:*

- Cessation of employment from the University.
- Obtaining a SPES rating lower than 4.0 during the scholarship availment.
- Infraction or violation of an employee grantee of any of the University's policies and procedures during the availment of scholarship. This includes suspension and/or two written reprimands.
- Deferment of enrollment without justifiable reason.

13.2.8 In the event of termination of grant, the pro-rated computation shall be deducted from the employee's final pay or from his/her monthly pay, whichever is applicable.

13.2.9 If the faculty member opts to personally cover his/her tuition and miscellaneous costs and limits his/her request for de-loading, approval may be limited to a maximum of six units per term. The usual guidelines should be observed.

13.3 Return Service

The employee is required to serve National University as part of the return service contract as follows:

13.3.1 All Faculty members who availed any of the scholarship grant shall be covered by the Return Service Agreement (pro-rated) set forth by the University.

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13.3.2 The grantee shall agree to render his/her services as an employee in the succeeding term.

13.3.3 If the enrollment is limited to thesis or dissertation, the scholar is required to render a 12-month period after successful completion of the academic program. Otherwise, the final pay of the scholar shall be assigned to the payment of the pro-rated amount. If the last pay is insufficient, the employees' account shall be considered Account Receivable.

13.3.4 If the faculty member attends another program with an existing return service commitment, the duration for the return service commitment shall be updated accordingly.

13.3.5 The service contract immediately follows each completed term of educational scholarship.

13.3.6 A return service agreement will be executed by the employee.

13.3.7 Non-compliance with the required return service shall oblige the grantee to pay back the equivalent discounts.

13.4 Approval

All educational benefits shall be subjected to verification by the head of the Unit, Human Resources, and the final approval by the Campus Head or the President.

13.5 Termination

13.5.1 Educational benefit terminates in the following cases:

- a. resignation;
- b. non-completion of the program within the prescribed period of the curriculum;
- c. non-fulfilment of the return service commitment; and
- d. major disciplinary offense or termination of employment for any cause.

The educational benefit availed of shall cease on the date of separation.

13.5.2 For the employee's spouse and children who are currently enrolled, the benefit will continue up to the end of a particular term in college and up to the end of the school year for the basic education and senior high school level.

13.5.3 In case of termination of employment, and therefore of the benefits, the employee shall pay the cost of the educational benefit for which he/she has not rendered the corresponding return service.

13.5.4 If the grantee is separated from National University, the release of the beneficiary's certificate of completion and transcript of records shall be withheld until the immediately preceding provision has not been settled.

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13.6 Extension of Benefits to Retirees

Educational benefits will also apply to the qualified children-beneficiaries of employees retiring after the execution of this Agreement subject to the limitations herein stated.

13.6.1 Coverage is until the completion of the current level enrolled in or to be availed of.

13.6.2 Continuation to the next level of study shall be subject to recommendation of HR and approval of the Management.

SECTION 14: MEDICINE SUBSIDY

To help employees defray the cost of health maintenance, they may avail of the medicine allowance benefit. Regular employees will be assisted financially in the cost of their medicines with a maximum amount as determined per academic year. This subsidy shall be subject to the following conditions:

14.1 Regular employees will receive the medicine subsidy at the start of the Academic Year in the form of cash advance. Covered employees shall liquidate the subsidy through submission of medicine receipts subject to the guidelines provided by the HR.

14.2 Newly regularized employees shall receive a pro-rated amount of medicine subsidy and should be liquidated as well subject to guidelines.

SECTION 15: LIFE INSURANCE AND BEREAVEMENT BENEFIT

15.1 Life and Accident Insurance

A regular employee member shall be entitled to a life insurance that shall be granted to the employee upon regularization.

15.2 Bereavement Benefits

15.2.1 A bereavement assistance shall be extended to the regular employee in case of death of any of his immediate family members (parents, siblings, spouse, and children).

15.2.2 The regular employee is likewise entitled to a maximum of three (3) days bereavement leave per year upon death of an immediate family member. The bereavement leave is on top of the Vacation Leave.

15.2.3 Death of an immediate family member includes spouse, children, unmarried brother and sister, parents.

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SECTION 16: RETIREMENT

16.1 Retirement Benefits

16.1.1 As provided under the Retirement Law (Republic Act No. 7641), National University shall pay regular employees a retirement cash benefit equivalent to 22.5 days per year of service computed based on the employee's last salary rate, provided that:

- They have served National University for at least five (5) continuous years on a full-time basis.
- They have reached sixty (60) years of age.
- Retirement takes effect at the end of the birth month or end of affected term.

16.1.2 Early Retirement

Regular employees may opt for an early retirement provided that:

- They have served National University for at least ten (10) continuous years on a full-time basis.
- They have reached the age of fifty (50).
- The early retirement option is subject to management approval.

16.2 Private Education Retirement Annuity Association (PERAA)

Upon regularization, regular employees of National University are enrolled in PERAA. PERAA is a leading, non-profit retirement plan for private education. It is founded in 1972 and the most cost-effective, high growth retirement program exclusive to private education.

The institution sets up an institutional fund under its account strictly for employees' benefits through fixed & periodic premiums based on valuation. The rate of contribution is 12% employer share and 2% employee share.

SECTION 17: LONGEVITY PAY

17.1 The National University shall grant a longevity pay to regular employees in accordance to approved longevity pay of Campus as reflected in the table below:

Number of Years of Actual Service	Monthly Longevity Pay	
	NU Main	Other Campuses
Below 5	None	None
5 to 9	PHP 650.00	PHP 600.00
10 to 14	PHP 900.00	PHP 850.00
15 to 19	PHP 1,300.00	PHP 1,100.00
20 to 24	PHP 1,600.00	PHP 1,300.00
25 and above	PHP 1,800.00	PHP 1,500.00

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17.2 The longevity pay shall form part of the basic salary.

17.3 The longevity pay shall commence immediately on the 5th, 10th, 15th, 20th and 25th anniversary of the employee's date of hiring.

17.4 All regular employees must pass the performance evaluation administered by the Unit Heads or HR to qualify for longevity pay.

17.5 The longevity pay policy is subject to revision at the university's discretion.

SECTION 18: DE MINIMIS BENEFITS

The term de minimis are benefits or privileges of relatively small value given by the employer to his employees either mandated by law or additional compensation according to the performance. The total amount of payroll includes the withholding tax and de minimis benefits. Some employees may receive fringe benefits as part of the compensation.

The following are considered De minimis benefits to be granted to National University employees:

- a. Rice subsidy
- b. Service Incentive Gift or Loyalty Award

<u>Years of Service</u>	<u>Equivalent amount of token</u>
5 years	PHP 5,000.00
10 years	PHP 10,000.00
15 years	PHP 15,000.00
20 years	PHP 20,000.00
25 years	PHP 25,000.00
30 years	PHP 30,000.00
35 years	PHP 35,000.00
40 years	PHP 40,000.00

- Management awards an employee who has rendered the above years of service the equivalent amount of token every Foundation Day (August 1).
- Employees who have rendered at least 15 years of service can choose either a token from the list provided by the management or receive a gift certificate equal to half the value of their service, along with a token representing the remaining half.
- The completed years of service as of August 1 shall be the basis for qualification.

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SECTION 19: HEALTHCARE BENEFITS

19.1 Regular faculty and probationary faculty with at least one (1) year of continuous service shall be entitled to a yearly health maintenance insurance (HMO) the amount of which varies as determined by management.

19.2 HMO members are required to submit a signed PhilHealth Claim 1 Form to the hospital before discharge. Failure to do so would mean the employee would pay the PhilHealth portion of the hospital bill.

19.3 The HMO covers specific illnesses, medicines prescribed while confined in the hospital and all other inclusions indicated in the policy.

19.4 The coverage is limited to the most recent accredited hospitals, clinics, dentists, and doctors listed and issued by National University and the HMO provider.

19.5 Regular employees may upgrade their plan during the renewal of the health care insurance provided that the difference between the premium of the standard plan and the upgraded plan shall be paid by the employee.

19.6 Dependents may also be enrolled provided the employee pays for the full premium of the dependents through the SM Savings and Loan Association.

19.7 The health care benefit shall be discontinued upon resignation, termination, or severance of employment for whatever cause. The HMO ID card must be surrendered to HR Office.

SECTION 20: MEMBERSHIP TO SM EMPLOYEE ASSOCIATION

Upon regularization, the employee may voluntarily be a member of SM Savings and Loan Association (SLA) subject to its rules and regulations. A regular capital investment, (the amount of which is determined by the member), may be deposited through salary deduction. Dividend is declared twice a year. SLA periodically offers goods and commodities payable through salary deduction on installment basis without interest.

SECTION 21: SM E-CARD

Upon regularization, the employee may voluntarily avail of the SM E-Card, a credit line, without charges, payable in four equal payments through salary deduction.

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CHAPTER 7

TRAINING AND DEVELOPMENT PROGRAM

This chapter sets the guidelines for the training and development of the Faculty.

SECTION 1: POLICY STATEMENT

As its most important asset, National University recognizes the need to develop knowledge, skills, attitudes, and behavior of all its human resources. It does so to achieve the optimum levels of productivity and become effective in their work assignments. Not only will National University grow with a well-trained human resources but aids in the personal development of employees. Training and development will properly equip the employee to be better qualified to the next higher rank. Thus, National University shall plan, organize, and implement continuing training and development programs to address the needs or gaps between the employee's competence level and the desired competence level.

SECTION 2: ORIENTATION

2.1 The newly hired employee/faculty shall undergo an initial orientation arranged by the HR. Topics cover the following:

- National University History
- Vision, Mission, Goals and Core Values
- Quality Policy
- Organizational Structure
- University Officials and Administrators
- Employment Policies
- University-Initiated Benefits
- Faculty Ranking and Promotion
- University's Rules and Regulations
- Code of Discipline and Grievance Procedure

2.2 The new hire is given access to NUIS and NU email.

2.3 The new hire is introduced and acquainted to his/her College/School.

2.4 The new hire is obliged to attend the earliest scheduled ORIENTATION SEMINAR to be conducted by the HR for all the new and old employees of National University.

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SECTION 3: SEMINARS AND TRAINING

3.1 There are two kinds of training:

- 3.1.1 **In-house training/seminar/workshop** is a formal or on-the-job training held within the campus conducted by an internal or external facilitator.
- 3.1.2 **Off-campus training** is a formal or on-the-job training held outside National University premises, locally or abroad, conducted by an external facilitator.

3.2 The identification of areas for improvement as well as recommendations of potentials for future self-development is based on the performance appraisal results and other sources of training needs analysis.

3.3 Unit Heads shall evaluate and recommend the appropriate training, in-house or off-campus, to be conducted to address the need of the employee. In-house facilitator shall be prioritized over outside resources.

3.4 The Vice President for Operations or the Executive Director shall approve all training programs to be conducted, both in-house and off-campus, and included in the approved annual departmental budget.

3.5 All Employees attending external training programs regardless of rank shall be covered by **Return Service Agreement** (pro-rated) set forth by the University. The training cost shall have a complimentary return service commitment from the employee participant.

Training Cost	Return Service Commitment
P25,001 to P35,000	6 Months
P40,001 to P55,000	12 Months
P55,001 and above	18 Months

*(**Note: Cost of training refers to registration fees, travel costs, accommodation fees, and all others included herein for programs held in Metro Manila, provincial areas or abroad.)*

3.6 The service commitment due to training shall not be prejudicial to National University and employee's right for separation from employment.

- 3.6.1 For separation due to National University's initiative (retrenchment, redundancy, etc.) or death of employee, the service commitment is waived by National University.
- 3.6.2 For separation due to employee's resignation or termination with just cause, the employee shall pay the training cost and other related expenses pro-rata of the full amount depending on the service rendered after training. The formula for the computation is as follows:

$$\frac{\text{Total Expense of External Training}}{\text{Corresponding No. of Months}} \times \text{Remaining Contracted Months} = \text{Amount to be deducted from last pay}$$

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3.6.3 Should the employee fail to complete the training for reasons not acceptable to the University, the employee shall be made to pay the training and other related cost in full.

3.7 If necessary, the immediate head of the employee who attended the training shall set the date for the echoing training to other co-employees.

3.8 Training, seminars, conferences, conventions, or other related activities shall not be allowed any overtime payment.

3.9 Certificate of attendance to in-house training will be issued by HR and shall be credited to the Standard Performance Evaluation System of the employee. All other certification awarded to the employee will be for consideration to the evaluation system.

3.10 The employee should submit to HR the photocopies of all training certificates received as the basis for the personnel evaluation for the development program.

SECTION 4: FACULTY DEVELOPMENT PROGRAM

It is the policy of the National University to constantly promote the career and professional development of the faculty, and to continually appreciate individual efforts towards excellence in the teaching profession. In line with the ARC (Academic, Research, Community Engagement) framework, faculty members are provided with opportunities to enhance teaching effectiveness (academics), research output (research) and professions growth through linkages (community engagement).

The Faculty Development Program (FDP) is guided by the policies as contained in this document. However, a detailed discussion of the FDP is made in the Academic Policies Manual and all discussions made in the Academic Policies Manual shall be the final policies to be implemented.

4.1 These are policies that are applicable for full-time faculty members only. However, part-time faculty members can also request for the same privileges, and such requests can be approved on a case-to-case basis.

4.2 The FDP undertaking being applied for should be within the individual faculty development plan (Form FDP01) of the applying faculty member, and within the collective faculty development plan of the College/School (form FDP02), and over-all directions of the University. The quality and standard of the venues are to be approved by the Campus Academic Head.

4.3 Deans may request for additional privileges over and above those stipulated in these guidelines as part of their networking and linkages.

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4.4 Priority will be determined by the College/School, in coordination with the Campus Academic Head. However, the approval of these requests is subject to the availability of funds and certain allowable limits.

SECTION 5: PERSONNEL DEVELOPMENT PROGRAM

5.1 In identifying the gap between the knowledge, skills and attitudes that the people in the organization currently possess and the knowledge, skills and attitudes that they require to meet In identifying the Training Needs of our employees, Training Needs Analysis (TNA) is being done as this is also part of the Training and Development Program of National University.

5.2 The identified performance factors are based on the existing Standard Performance Evaluation System (SPES) aligned with the following:

- a. Professional Skills
- b. Interactive Skills
- c. Administrative
- d. Managerial Skills
- e. Technical Competencies

5.3 ASP shall assess their training needs and immediate superior to assess their employee training needs for both performance factors and technical competencies.

5.4 Technical competencies shall be identified by the employee and superior in line with the job description and technicality of the job role.

5.5 Form to be filled out by all regular and probationary ASP and full-time probationary faculty, after completion of 1 academic year

5.6 Data Collection and analysis of skill gap between the required rates (acceptable average for each skill) of the position as compared with the self-assessment and Department Head/College Dean assessment.

5.7 Individual Training Plan and matrix shall also be done by HR to be approved by the department head/college dean and division head, confirmed by employee.

5.8 Approved technical trainings shall be in line with the budget allotted per department. In case there are trainings requested outside the training matrix, it's the management discretion if said training will be approved based on its purpose.

5.9 The individual training plan is valid for three (3) academic years. HR together with the concerned Department Head to evaluate the status of individual training plan every August, November and March before the start of the academic year

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SECTION 6: JOB RANKING

6.1 All employees of National University (Officials and Administrative Support Personnel) are included in the Job Ranking implementation. They shall receive a copy of their Job Description which includes the minimum qualification requirement, duties and responsibilities, assigned office / department and other competencies required for the position.

6.2 All positions identified in the workplace have their corresponding classification and job level. Each job level has their respective qualifications including but not limited to minimum educational attainment, years of experience, job level description, decision making ability, retention and promotion requirement, competencies required, hiring approval job classification and position title.

Below is the standard job ranking for Administrative Support Personnel (ASP) and Officials:

- **Top Management**- President and CEO, Vice President, Executive Vice President, Group Chief Finance Officer, Group Academic Officer, Chief Information Officer, Executive Director, School Director and Managing Director, Assistant Vice President
- **Middle Management**- Senior Directors, Unit Director/s and Assistant Director, Academic Director, Admin Director/College Dean, University Registrar, University Librarian, SHS Principal
- **Supervisor**- Senior Supervisor, Supervisor and Specialist
- **Associate**- Associate, Senior Associate/Assistant Coordinator
- **Assistant**- Assistant 1, 2 and 3/Staff

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CHAPTER 8 PERFORMANCE EVALUATION

SECTION 1: POLICY STATEMENT

National University ensures that the weight to performance should be appropriately given and need to perform should be developed among the employees. This activity forms part of the overall performance management policy of National University that would allow the organization to bring about succession planning, career development and progression, talent management and ultimately to ensure that National University creates a performance-based work environment where every teaching and non-teaching personnel contributes to the overall goals, vision, and mission of the organization. The policy also provides that review of the performance is a fundamental right of employees and managers should be fairly executing the performance review process.

SECTION 2: GUIDELINES

The performance evaluation shall be directed towards achieving these objectives and purposes.

- a. The performance evaluation is a way to convey to the employees that the University appreciates their hard work and dedication towards work.
- b. It is also considered as a motivational tool used by the University to make sure that employees use their full potential to perform.
- c. It is a way to create a supportive environment where the employees can discuss their future aspirations and place in the organization.
- d. It thereby builds a pathway for job satisfaction for the employees.

The performance evaluation shall be composed of a highly structured tool and processes. It includes all the rules and regulations that should be followed by the employees while participating in the performance review. The evaluation activities shall be conducted in a manner where there exists a trust in the entire performance appraisal process.

The activity provides certain responsibilities to the individual employees and their respective superiors to execute the performance review process.

2.1 The Responsibilities of the Employee/Faculty

- 2.1.1 To submit himself/herself to the evaluation with an open-mind and not defensive about the review.
- 2.1.2 Discuss openly with the immediate superior the job description, basis of the evaluation as well as the personal plans, targets, and programs for improvement.

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- 2.1.3 Discuss and agree with the superior on the post-assessment program the ways on which the employee shall undergo to achieve professional and performance improvement.
- 2.1.4 Completion of the required courses of actions, including the training, seminars, and others as part of the Faculty Development Plan (FDP) designed for the faculty.

2.2 The Responsibilities of the Superior/Supervisor

- 2.2.1 To conduct the meeting called for the performance evaluation.
- 2.2.2 To provide feedback on performance, achievement, and progress throughout the year.
- 2.2.3 To follow fair performance evaluation methods and provide a deserved grade to the employee/s.
- 2.2.4 To ensure a healthy and open environment where the evaluation forms part of the mentoring responsibility of the superior.

2.3 The Responsibilities of Human Resource

- 2.3.1 The HR Department should design a definitive performance evaluation template which will include the factors for the evaluation to help the employees to understand how the performance review process works.
- 2.3.2 Keep the records of all evaluation in confidence. Only the employee can have a copy of the evaluation report.

SECTION 3: METHODS AND CONDUCT OF EVALUATION

National University keeps an efficient and effective human resource by monitoring performance. This will serve as a barometer of each personnel to continuously improve to attain the goals of each department. It allows the employee to grow personally and professionally, thereby promote job satisfaction, improve morale, and strengthen employee's weaknesses.

For Faculty Members:

- 3.1 All faculty members will be evaluated and will receive a performance rating periodically. This will provide the basis for annual merit and other pay adjustments, renewal of term appointment, appointment to probationary or permanent status, promotion in rank, and faculty development. Performance will be evaluated based on the faculty's key responsibilities of Teaching, Research, and Service.
- 3.2 It is the responsibility of each college/school to evaluate the performance of its individual faculty members for making informed recommendations / decisions regarding all merit-based salary adjustments and reappointment, promotion, and regularization.
- 3.3 The Standard Performance Evaluation System (SPES) for faculty applies to all faculty members with term and regular appointments, part-time and full-time. The SPES cover the following components:
 - Teaching Effectiveness

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- Research and Innovation
- Community Extension and
- Professional Development

3.4 The Standard Performance Evaluation System (SPES) is guided by the policies as contained in this document. A detailed discussion of the SPES is available in **Annex D Revised SPES for Faculty**.

For Administrative Support Personnel:

3.5 Employees' job performance is reviewed by the immediate head annually.

3.6 SPES (for Administrative Support Personnel) measures the Administrative Support Personnel's performance with the following specific objectives:

- For regular employees: to periodically monitor competence and productivity as basis for retention, promotion and termination.
- For probationary and contractual employees: to determine who will be regularized and/or reappointed.

3.7 The evaluation is also basis for proportionate distribution of management initiated incentives, e.g. salary adjustments and job reclassification. Notwithstanding the purposes of the evaluation, this shall not be the ultimate goal of the evaluation.

3.8 In order to qualify for any adjustment in position, status and rate, an employee must earn a SPES rate of 4 (Meets Expectation).

3.9 The Standard Performance Evaluation System (SPES) is guided by the policies as contained in this document. A detailed discussion of the SPES is available in **Annex E Revised SPES for ASP**.

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CHAPTER 9

WORK STANDARDS AND EXPECTATIONS

This chapter includes policies, rules, and procedures on how an employee should conduct himself at work.

SECTION 1: POLICY STATEMENT

National University ensures the safety and security of its faculty by setting rules and standards that include a code of ethics. Faculty ought to conduct themselves by adhering to the standards and expectations in the workplace.

SECTION 2: EQUAL EMPLOYMENT POLICY

- 2.1 The University provides equal opportunity to all faculty and applicants and does not discriminate on any basis prohibited by law, (including race, colour, sex, age, religion, national origin, disability, or marital status). It is the intent of this policy to be fair in recruitment, selection, compensation, benefits, promotion, demotion, layoff, termination and all other terms and conditions of employment. The President/CEO and the administration are committed to enforce this policy.
- 2.2 Administrators and faculty are directed to bring any violation of this policy to the immediate attention of their Dean/Program Chair/Coordinator or HR or the President/CEO. Any administrator or employee who violates this policy or knowingly retaliates against a fellow faculty who reports or complains of a violation of this policy shall be subject to immediate disciplinary action, up to and including discharge. Complaints brought under this policy will be promptly investigated and handled with due regard for the privacy and respect of all involved.

SECTION 3: APPEARANCE AND ATTIRE/DRESS CODE

- 3.1 The manner of dressing speaks well of one's personality and the institution he/she represents. It elicits respect among fellow employees and National University's customers (students, parents, other stakeholders). It upholds the **dignity** of one's profession and gives it **credibility**. Moreover, it promotes the good reputation of National University.
- 3.2 It is the policy of National University to project a professional image to its customers. Hence, employees are required to wear appropriate clothing on the job.
- a. For the business office. Business-style or corporate attire is appropriate. Employees should be neatly groomed, and clothes should be clean and in good repair. Leisure clothes such as cut-offs or halter tops, short pants, revealing clothes, sneakers, rubber shoes and slippers, among others, are not acceptable.

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- b. For the jobsite (laboratory, field work, etc.). Employees are expected to wear appropriate clothes in the jobsite. Employees should be sensitive to the location and context of their work and should be ready to adjust their dress if circumstances so warrant. Employees at a jobsite should wear clothing that protects their safety.

3.3 Employees are expected to observe the following dress code during working days, as defined in the table.

Guidelines on Dress Code	
Office Attire	<ul style="list-style-type: none"> • Clean, clear of stains; well-pressed • No missing buttons or loose threads • No bulging pockets • Fit of the clothes must not body tight or too loose • Backless, strapless, and sleeveless blouses or dress may be worn provided that a blazer worn over the attire • Plunging necklines, transparent clothes, tank cropped, and off-shoulder clothes are not allowed • Length of skirt should not be more than two inches above the knee • Clothes should not be transparent where the undergarments are outlined or seen through • Dark-wash denim jeans are acceptable, no faded jeans • Ripped denim pants, short pants are not allowed • Footwear must be clean, well-polished and in good condition • Peep-toe shoes, open shoes, slippers or sandals and bright colored sneakers are not allowed • Mid-top and high-top athletic shoes are not allowed
	First day of Workweek and Official Events <ul style="list-style-type: none"> • Corporate Attire
	Succeeding days of Workweek <ul style="list-style-type: none"> • Smart Casual (preferably collared polo/blouse) • Preferably in slacks, denim pants are allowed
	Dress-down Friday and Saturday <ul style="list-style-type: none"> • Corporate Shirt or NU Merch Shirt • NU Merch jackets and jackets with hoods are allowed • Denim pants are allowed • A casual low-top sneakers (does not cover the ankle) are allowed
Hair	<ul style="list-style-type: none"> • Clean and well-groomed • Hair colors that are attention grabbing are unacceptable

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Guidelines on Dress Code	
	<ul style="list-style-type: none"> • Hair must be away from the face
Facial Hair	<ul style="list-style-type: none"> • Trimmed and well-groomed
Make-up	<ul style="list-style-type: none"> • Make-up should be limited to Day Make-up
Jewelries	<ul style="list-style-type: none"> • Keep it simple and classy • No bangles or chains (loud/noisy) jewelries • Facial piercing is unacceptable
Fingernails	<ul style="list-style-type: none"> • Preferably, only neutral colors or natural/colorless polish
ID's	<ul style="list-style-type: none"> • ID Cards must be always worn (No stickers) • Promotional pins are not allowed

3.4 Habitual non-compliance with the dress code shall be subject to sanctions ranging from written reprimand to suspension.

3.5 Monitoring and Control

3.5.1 Department Heads and immediate superiors will assist in implementing the dress code.

3.5.2 Non-compliance with the dress code shall be subject to discipline sanctions.

3.6 Wearing of IDs

3.6.1 Employees are issued individual ID cards. Everyone is required to always wear the ID inside National University campus.

3.6.2 Those who are not wearing IDs shall be refused entry and shall be marked absent (without pay) for the day.

3.6.3 In case of loss, an affidavit should be submitted to the HR. A replacement fee of Php300.00 shall be charged through salary deduction. The same ID number shall be assigned.

SECTION 4: SAFETY POLICY AND GUIDELINES USING SAFETY EQUIPMENT

4.1 Safety is the concern of everyone. National University maintains safe and healthy working conditions for employees. However, in providing a safe workplace, each employee must be safety conscious. National University has set policies and procedures to allow safe and healthy working conditions. It is expected of each employee to comply with the set policies, rules, and procedures. Signs like 'No Smoking', 'Unauthorized Persons, Keep Out', 'Restricted Area', and the like must be strictly followed.

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4.2 Reporting Unsafe Conditions or Practices

- 4.2.1 Employees are expected to continually be on the lookout for unsafe working conditions or practices. One should warn others of an unsafe condition, and promptly report the same to the supervisor. For any question regarding practices and the safety of the workplace, always communicate with the supervisor.
- 4.2.2 An employee may call the attention of a co-employee who is observed to be using an unsafe practice. This should also be reported to the supervisor/immediate superior. Likewise, if a fellow worker brings to one's attention an unsafe practice, thank him/her and make necessary adjustments. Safety at work is a team effort.
- 4.2.3 Incidents must be reported immediately to the concerned employee's supervisor by submitting an incident report. An investigation shall immediately be conducted to determine the cause, the corrective action, the preventive measures, and any sanctions to be imposed.

4.3 Maintaining a Safe School and Worksite

While it is the responsibility of National University to create a safe working environment, the employees are expected to establish and maintain a safe school by abiding by the safety programs outlined in the Occupational Safety and Health standards approved for the maintenance of the OSH requirements of the Department of Labor and Employment. It is of paramount importance that the Unit Directors shall orient their staff of the existing policies of the OSH standards within the University.

Employees are expected to establish and maintain a safe worksite. This includes but is not limited to the following applications:

- Maintaining proper fall-protection systems.
- Building and maintaining walkways, handrails, and guardrails.
- Properly lifting and lowering heavy objects.
- Keeping walkways clear of debris.
- Inspecting, cleaning, and properly storing tools / equipment after use.
- Following established safety rules.

4.4 Where needed, National University provides employees with appropriate safety equipment and devices. Employees are required to use the equipment provided in the manner designated as proper and safe by the manufacturer. Failure to properly use safety equipment may lead to disciplinary action.

4.5 If a required safety equipment has not been provided, contact the supervisor before performing the job for which the safety equipment is necessary.

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SECTION 5: PERSONAL CALLS, VISITS AND BUSINESS

- 5.1 National University expects the full attention of its employees while they are working. Although employees may occasionally have to take care of personal matters during the workday, employees should try to conduct such personal business either before or after the workday or during breaks or meal periods. Regardless of when any personal call is made, it should be kept short.
- 5.2 Employees should limit incoming personal calls, visits, or personal transactions. National University's phones should be available to serve the customers, and non-business use of the phones can hurt the University's business. A pattern of excessive personal phone calls, personal visits, and/or private business dealings is not acceptable and may lead to disciplinary action.
- 5.3 Long distance calls, local (NDD) or international (IDD) or mobile phone calls for personal purpose is strictly prohibited. Any unauthorized use shall be charged to the employee concerned.

SECTION 6: REPORTING AN INCIDENT

- 6.1 Employees are required to report any injury, accident, or safety hazard immediately to their supervisor(s). Minor cuts or abrasions must be treated on the spot. More serious injuries or accidents will be treated accordingly. Serious injuries must be reported on the injury or accident report form available in the offices.
- 6.2 If one believes that there is a lack of appropriate information and/or safety equipment, inform the immediate superior immediately.

SECTION 7: CARE OF EQUIPMENT AND SUPPLIES

- 7.1 All employees are expected to take care of all equipment and supplies provided to them. The faculty is responsible for maintaining this material in proper working condition and for promptly reporting any unsafe or improper functioning of this material to your immediate supervisor.
- 7.2 Neglect, theft, and/or destruction of the University's materials are grounds for disciplinary action, up to and including termination.

SECTION 8: SMOKING AT THE WORKPLACE

National University adheres to a smoke-free environment. Smoking of any kind is prohibited inside the office and on worksites. Employees are responsible to report to their supervisor any violation of this policy. Anyone who is caught smoking within the university premises will be subject to disciplinary actions.

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SECTION 9: VIOLENCE AND WEAPONS

- 9.1 National University believes in maintaining a safe and healthy workplace, in part by promoting open, friendly, and supportive working relationships among all employees. Violence or threats of violence have no place in campus. Violence is not an effective solution to any problem. Employees are strictly prohibited from bringing in any weapons, including knives, pistols, rifles, stun guns, mace, etc. Neither threats of violence nor fighting will be tolerated.
- 9.2 Furthermore, should there be any problem that creates stress or otherwise making anyone agitated, discuss this with the supervisor.
- 9.3 Immediately report to the immediate superior any violation of this policy. Any employee found threatening another employee, fighting, and/or carrying weapons to the worksite will be subject to disciplinary action, up to and including termination.

SECTION 10: DRUG-FREE WORKPLACE

- 10.1 National University does not tolerate the presence of illegal drugs or the illegal use of legal drugs in our workplace. The use, possession, distribution, or sale of controlled substances such as drugs or alcohol or being under the influence of such controlled substances is strictly prohibited while on duty, while on the University's premises or worksites, or while operating National University equipment or vehicles. The use of illegal drugs as well as the illegal use of legal drugs is a threat to us all because it promotes problems with safety, customer service, productivity, and our ability to survive and prosper as a business. If one needs to take a prescription drug that affects his/her ability to perform work, discuss possible accommodations with the supervisor.
- 10.2 Violation of this policy will result in disciplinary action, up to and including termination.
- 10.3 Random Drug Testing: Officer/employees may be selected at random for drug testing at any interval determined by the University.
- 10.4 Any employee who is convicted of violating criminal drug statutes must notify an appropriate Unit Head/Official of the University of that conviction within five days of the conviction. Failure to do so may lead to disciplinary action.

SECTION 11: RESPONDING TO CUSTOMER INQUIRIES AND PROBLEMS

- 11.1 National University regards client satisfaction as a measure of success. It is the responsibility of each faculty to interact with the customers to achieve this goal. Each faculty is enjoined to place customer satisfaction as primary work focus: ***"A customer is not an interruption of our work; he is the purpose of it."*** Service to customer (both internal and external customers) is the reason of employment.

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- 11.2 Customer could be defined as all and any students in the University, faculty/teaching personnel, even all administrative support personnel and even management. The customer inquiries and concerns can come from any one of these groups of people to another Unit or group of people.
- 11.3 Any customer inquiries and concerns received by anyone in the University shall be heard and referred to the proper Units.
- 11.4 **For student related concerns** such as concerns in the grades, faculty/teaching personnel concerns, discipline, behavior of other students and faculty members – The proper Unit to receive the concerns shall be the Student Development and Activities Office or its equivalent in other campuses.
- 11.5 For **Administrative Support Personnel** – The proper Unit to receive the concerns shall be the Human Resources Office.
- 11.6 Any inquiries and problems should be responded to and resolved, if possible, within the fastest possible time. If possible, the inquiries should be addressed within 24 to 48 hours to avoid hanging issues.

SECTION 12: CONFLICT OF INTEREST

- 12.1 An employee should avoid external business, financial, or employment interests that conflict with National University's business interests or with one's ability to perform work well. This applies to possible relationships with any other employer, consultant, contractor, customer, or supplier. Violations of this rule may lead to disciplinary action, up to and including termination.
- 12.2 Any faculty who might have a relationship within and outside the university shall immediately disclose the relationship with any of the consultant, contractor, customer, or supplier.

SECTION 13: SOLICITATION AND DISTRIBUTION

For the safety, convenience, and protection of all employees, National University always prohibits solicitation and distribution of materials in the campus.

SECTION 14: BUSINESS EXPENSES

- 14.1 Employees may occasionally incur expenses on behalf of the National University. Employees will be reimbursed for typical business expenses, such as mileage (for example, when the supervisor approves an employee's trip during workdays) for official business.
- 14.2 The list of the Business expenses that are subject to liquidation and reimbursements shall be determined by the Finance Office.

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SECTION 15: INSPECTION OF PERSONAL AND UNIVERSITY PROPERTY

- 15.1 Employees use the property, equipment, materials, supplies and information the National University provides. Employees are reminded these remain the property of the University. The National University reserves the right to search any National University property (e.g., personal computers, desks, lockers, or other storage areas) at any time.
- 15.2 The National University also reserves the right to inspect personal property (e.g., toolboxes, purses, briefcases) during the workday or as the employee leave the campus. Refusal to allow inspection may lead to disciplinary action, up to and including termination.

SECTION 16: NETWORK AND ELECTRONIC RESOURCES POLICY, COMMUNICATION AND CELLPHONE USE

- 16.1 Network and electronic resources, such as computers, other hardware, software, e-mail, landline and cellular telephones, fax machines and internet access, are tools that National University's provides its employee to assist them in their work. These are National University property subject to review or access by management at any time.
- 16.2 All employee who uses National University's network and electronic resources must follow the guidelines below:
- 16.2.1 Use network and electronic resources for National University business purposes only. The use of the computer for social networking has no room during office hours. Browsing, chatting and the like in the Facebook, Twitter, and other social network, must be avoided.
- 16.2.2 Messages and communications sent via National University's network and electronic resources are subject to subpoena and access by persons outside National University and may be used in legal proceedings. This must be considered before sending any confidential messages or material via the network and electronic resources.
- 16.2.3 Email is not a substitute for face-to-face communication. Discuss any conflict or an important matter with someone in person or over the telephone if a meeting is not possible.
- 16.2.4 Policies, including but not limited to policies on Equal Employment Opportunity, Harassment, Confidentiality, Personal Conduct and Rules of Conduct, apply to the use of National University's network and electronic resources. Employees must not review or forward sexually explicit, profane, or otherwise unprofessional or unlawful material through the National University's network and electronic resources.

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- 16.2.5 Passwords protecting the use of the National University's network and electronic resources are the National University's property and will be assigned to employees as needed. Employees must notify the ITSO of all passwords and encryption keys assigned to or used by them, and of any changes to such passwords or encryption keys.
- 16.2.6 National University prohibits the unauthorized use, installation, copying or distribution of copyrighted, trademarked, or patented material.
- 16.2.7 Employees must not attempt to override or evade any program or measure installed by National University to protect the security or limit the use of its network and electronic resources.
- 16.2.8 The National University reserves its right to review all communications conducted and data saved, reviewed, or accessed via the National University's network and electronic resources, including National University computers, e-mail, and internet access. The National University does not permit its faculty to access or use any National University password, e-mail, or internet access other than their own. Inappropriate use of the network and electronic resources may result in sanctions, up to and including discharge. Faculty should be careful to safeguard their passwords, log off their terminals when not in use and not permit others to access National University systems.

16.3 Phone Courtesy

In answering the telephone, the following should be standard practice:

- **Picking up the Call:** Pick up the phone in two (2) rings; at most three (3) rings.
- **Proper Greetings:** "Good morning, [College], This is _____. How may I help you?"
- **Transfer Call:** Should the need to be transferred to another department, simply say, "One moment, I will transfer your call to the _____ department."
- **Recipient's Answer:** The transferred call must be answered by the recipient also in two (2) or three (3) rings and must say: "Good morning, [College], This is _____. How may I help you?"
- **Voice Management:** Always answer the telephone with a 'SMILING VOICE'.
- **In Transferring Calls:** After saying "One moment", make sure to do the following:
 - Transfer the call immediately and successfully to the person concerned DIRECTLY, not to anybody else.
 - Should the line be busy, go back to the caller and inform him/her with, "I'm sorry, the _____ department is busy at the moment, you may call them directly, their local number is XXX."
- **Managing Calls Put on Hold:** The general rule is to avoid putting calls on hold. If unavoidable, say: "Thank you for waiting." or "Sorry to have kept you waiting."

16.4 Cell phone Use

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- 16.4.1 National University recognizes that cell phones (and smartphones especially) have become an integral part of any faculty's everyday life. If used properly, the usage may be a great benefit for productivity but, cell phones may also cause problems when used imprudently or excessively especially when more time has been used using the cell phone.
- 16.4.2 As much as possible, National University expects all faculty to use their cell phones in moderation as it may cause distraction at work, disturb colleagues, and may pose a security concern in the workplace.
- 16.4.3 National University advises the faculty to use phone for official business, to make brief personal calls during work hours and turn off the cell phone during meetings and seminars.

SECTION 17: CONFIDENTIAL AND PROPRIETARY INFORMATION

- 17.1 National University considers its confidential and proprietary information, including the confidential and proprietary information of customers, as valuable assets. Vital and confidential information and documents and records of National University must be treated with utmost confidentiality and must not be utilized for an employee's personal benefit or gain nor to be divulged to unauthorized persons or entities whether connected with National University. If one is in custody of confidential records or of information conveyed in confidence, one must safeguard its sacredness.
- 17.2 Examples of records classified as confidential are personnel records (addresses, phone numbers, etc.), salary records, examination papers, students' grades, performance evaluation results, medical records, personal memoranda, psychological test reports, and others. One must not divulge, or provide access to, any confidential information to persons without proper authorization. Likewise, no one shall access any confidential information without proper authorization.
- 17.3 Thus, employees must carefully protect and must never disclose to any third party all confidential and proprietary information belonging to National University, its customers, and suppliers. Such protected information includes, but is not limited to, the following: matters of technical nature, such as: computer software, product sources, product research and designs; and matters of a business nature, such as customer lists, customer contact information, associate information, on-site program and support materials, candidate and recruit lists and information, personnel information, placement information, personnel's salary, pricing lists, training programs, contracts, revenues, financial and marketing data, systems, forms, methods, procedures, analyses, and any other proprietary information, whether communicated orally or in documentary, computerized or other tangible form, concerning National University's or its customers' operations and business.

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- 17.4 Employees should ensure that any material containing confidential or proprietary information are filed and/or locked up before leaving their work areas each day. During the workday, employees should not leave any sensitive information lying about unguarded.

SECTION 18: HARASSMENT POLICY

- 18.1 The University will not tolerate harassment or intimidation prohibited by law, including race, color, sex, age, religion, national origin, handicap, disability, or marital status. Any suggestion for sexual favors will not be tolerated. It is the policy of the University that any harassment, including acts creating a hostile work environment or any other discriminatory acts directed against an employee, will result in disciplinary sanction, up to and including discharge. In the same manner, the management will not tolerate any such harassment of University administrators or employee by clients or vendors.
- 18.2 For purposes of this policy, sexual harassment is defined as any type of sexually- oriented conduct, whether intentional or not, that is unwelcome and has the purpose or effect of creating a work environment that is hostile, offensive, or coercive. The following are examples of conduct that, depending upon the circumstances, may constitute sexual harassment:
- 18.2.1 Unwelcome sexual jokes, language, epithets, advances or propositions;
 - 18.2.2 Written or oral abuse of a sexual nature, sexually degrading or vulgar words to describe an individual;
 - 18.2.3 The display of sexually suggestive objects, pictures, posters or cartoons;
 - 18.2.4 Unwelcome comments about an individual's body;
 - 18.2.5 Asking questions about sexual conduct;
 - 18.2.6 Unwelcome touching, leering, whistling, brushing against the body, or suggestive, insulting, or obscene comments or gestures; and
 - 18.2.7 Demanding sexual favors in exchange for favorable reviews, assignments, promotions, or continued employment, or promises of the same.
- 18.3 Administrators, faculty and employees must bring any violation of this policy to the immediate attention of their immediate head. The University will thoroughly investigate all such claims with due regard for the privacy of the individuals involved. Any administrator, faculty or employee who knowingly retaliates against a fellow administrator, faculty or employee who reported workplace harassment or discrimination shall be subject to immediate disciplinary action, up to and including discharge.

SECTION 19: EXTERNAL COMMUNICATIONS AND SOCIAL MEDIA GUIDELINES

This section outlines the policy on how the organization and its employees should conduct themselves online. This helps safeguard the University's reputation and encourages employees to responsibly share the University's message to everyone.

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- 19.1 Everyone has social media accounts. While the University cannot prevent any people to make social media posts, the University expects employees to follow the proper guidelines in posting. The following outlines the guidelines on what the employees can and cannot do in social media.
- 19.2 The employee can list the University as an employer in their account during their employment. However, the university expects that the personnel will be responsible to take it down when no longer connected in the institution.
- 19.3 The employee can share official and University news, stories and posts made by the University in its website or social media accounts.
- 19.4 The employee cannot share any confidential information or any internal concerns of the institution.
- 19.5 The employee shall restrain in making any derogatory, discriminatory, libelous, and offensive remarks to any colleague in the University or its vendors, suppliers and others associated with National University.
- 19.6 The employee cannot respond to negative views, rants or comments by the competitors, disgruntled faculty, employees, unhappy students/customer, or other people in the social media. Instead, these kinds of remarks should be immediately referred to the proper office, such as the Corporate Communications so that they can respond properly. While it is tempting to defend the institution in social media, the concern shall be dealt with properly.
- 19.7 In posting pictures of students, colleagues and clients in the social media, the employee should ensure that the pictures are of decent and of proper portrayal of an employee in the University.
- 19.8 Administrators, faculty and employees must bring any violation of this policy to the immediate attention of their supervisor. The University will thoroughly investigate all such claims with due regard for the privacy of the individuals involved. Any administrator, faculty or employee who knowingly makes such violation of the guidelines stated above shall be subject to immediate disciplinary action, up to and including discharge from employment.

SECTION 20: HEALTH AND SANITATION

National University wants to operate within an environment where health and safety of everyone is of prime importance.

- 20.1 All personnel must promptly report and seek treatment for any illness, lesions, boils, sores, infected wounds, or other injury that occurred during work hours.

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- 20.2 Sick or injured employee should not come to work or should check with their supervisors before starting work. Any employee who is diagnosed with an infectious disease should immediately disclose the situation to the supervisor for proper attention.
- 20.3 Smoking cigarettes or tobacco are strictly prohibited anywhere in the school premises. Eating and drinking are discouraged inside the work area to avoid pest infestations.
- 20.4 Potable drinking water will be provided for all employees. Drinking stations will be readily accessible and stocked with single-use cups. A first-aid kit will be accessible in a designated area during each shift.
- 20.5 Proper personal hygiene and sanitation must be practiced by all personnel.

SECTION 21: POLICY PROHIBITING HIRING OF RELATIVES

- 21.1 To maintain a high level of professionalism among its academic and non-academic personnel, National University recruits and retains personnel based on competence, character and commitment to National University's Vision-Mission and Goals.
- 21.2 National University prohibits hiring of relatives up to the third degree of consanguinity/affinity (parent, child, spouse, brother, sister, stepparent, stepbrother, stepsister, stepchild, mother-in-law, father-in-law, brother-in-law, sister-in-law, grandchild, grandparents, cousins, nephew, niece) of currently employed faculty and staff, regardless of status (contractual, probationary, regular, part time or full time).
- 21.3 Any misdeclaration or misrepresentation, omission or commission of fraud, forgery, dishonesty, and the like by a prospective employee shall be sufficient ground for termination and invalidation of the employment contract.
- 21.4 Regular employees' relative/s who are on project-based, temporary or probationary contract shall not be renewed.
- 21.5 For employees who happen to get married with co-employees and where both are on regular status, they shall not be allowed to be assigned in the same department or in one office. Neither shall they be allowed any superior-subordinate relationship.
- 21.6 In special but meritorious cases in key academic and administrative areas, the applicability of this policy may be waived only with the final approval of the President/CEO upon the urgent recommendation of the President's Council.

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SECTION 22: FREEDOM OF ASSOCIATION

National University recognizes the rights of its employees, both teaching and administrative support personnel, to form association and participate in the Collective Bargaining Agreement as NU promotes industrial peace.

- 22.1 The University is expected to follow the rulings set by DOLE in allowing employees to form association and engage in collective bargaining agreement.
- 22.2 The formation of association/participation in an association shall not be part of disciplinary action or administrative case in the University.

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CHAPTER 10 CODE OF DISCIPLINE

No written policy can prescribe an appropriate action for every business situation. This Code of Discipline defines only the minimum standards which must be observed and guide every employee in his/her daily work and relationships. This chapter states the policy on discipline, faculty conduct and behavior, grievance procedure and the schedule of offenses and the corresponding sanctions.

SECTION 1: POLICY STATEMENT

It is the sincere desire of National University to help its faculty in every way possible so that both will succeed in their respective endeavors, but willful or inexcusable breach of the Code will be dealt with firmly under a uniform policy such that the provisions of this Code shall apply to all faculty regardless of status, rank, or position.

National University views disciplinary action more of a correction or preventive measure than a punitive one. National University, in adopting and promulgating these rules and regulations, intend to abort the misconduct and offenses caused by a minority, if not isolated few, of the faculty. National University does not in any way want that the great majority of the employees who are performing efficiently and loyally and who make National University a respected organization to feel that the adoption of these policies is an adverse reflection on them.

SECTION 2: ETHICAL CONDUCT

- 2.1 In order to avoid any appearance of a conflict of interest, employees are expected to abide by ethical standards.
- 2.2 Employees should not solicit anything of value from any person or organization with whom the National University has a current or potential business relationship.
- 2.3 Employees should not accept any item of value from any party in exchange for or in connection with a business transaction between National University and that other party.
- 2.4 Employees may accept items of incidental value from customers, suppliers, or others if the gift is not given in response to solicitation of favor and long as it implies no exchange for business any purpose. Items may include gifts, gratuities, food, drink, and entertainment.
- 2.5 If faced with and unsure how to handle a situation that may potentially violate this code of ethical conduct, notify the immediate supervisor. Violations of this code may lead to disciplinary action, up to and including termination.

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SECTION 3: RULES OF CONDUCT AND BEHAVIOR

- 3.1 Employees are enjoined to project an image compatible to National University's Vision-Mission, Goals and Core Values, and shall always conduct all activities in a manner consistent with the policies and good public norms.
- 3.2 Employees are expected to manifest obedience to rules of orderly conduct, exercise self-control, show consideration for the rights of others and accept the consequences of their acts. There are reasonable rules of conduct which must be followed in any organization to help a group of people work together effectively. The University expects each faculty to present himself or herself in a professional appearance and manner. If a faculty is not considerate of others and does not observe reasonable work rules, disciplinary action will be taken.
- 3.3 Depending on the severity or frequency of the disciplinary problems, a verbal or written reprimand, suspension without pay, disciplinary probation, or dismissal may be necessary. It is within National University's sole discretion to select the appropriate disciplinary action to be taken.
- 3.4 Any employee who commits any infraction of National University rules of conduct, policies and other regulations after due process shall be subject to the commensurate disciplinary action or sanction which may be imposed by the Human Resources Officer in accordance with the following:

Schedule of Offenses and Sanctions

- 3.1.1 Reprimand
- 3.1.2 Written Warning
- 3.1.3 Suspension of 5 working days or 15 working days
- 3.1.4 Dismissal

Management reserves the right to determine the appropriate punitive sanction to any infraction, based on merits of the case.

SECTION 4: PROGRESSIVE DISCIPLINARY PROCEDURE

- 4.1 The following is not a complete list of offenses for which a faculty may be subject to discipline, but it is illustrative of those offenses that may result in immediate discipline, up to and including dismissal, for a single offense:
- a. Excessive absenteeism or tardiness.
 - b. Dishonesty, including falsification of University-related documents, or misrepresentation of any fact.
 - c. Fighting, disorderly conduct, horseplay, or any other behavior which is dangerous or disruptive.
 - d. Possession of, consumption of, or being under the influence of alcoholic beverages while on University or customer premises or on University business.
 - e. Illegal manufacture, distribution, dispensation, sale, possession, or use of illegal drugs or un-prescribed controlled substances.
 - f. Reporting for work with illegal drugs or un-prescribed controlled substances in your body.

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- g. Possession of weapons, firearms, ammunition, explosives, or fireworks in National University or customer premises.
- h. Failure to promptly report a workplace injury or accident involving any of National University's employees, clients, equipment, or property.
- i. Willful neglect of safety practices, rules, and policies.
- j. Speeding or reckless driving while on official business.
- k. Commission of a crime, or other conduct which may damage the reputation of the National University.
- l. Use of profane language while on official National University business.
- m. Stealing, misappropriating, or intentionally damaging property belonging to National University or its customers or employees.
- n. Unauthorized use of the National University's or its clients' name, logo, funds, equipment, vehicles, or property.
- o. Insubordination, including failure to comply with any work assignments or instructions issued by an authorized supervisor.
- p. Violation of National University's Equal Employment Opportunity Policy or its Harassment Policy.
- q. Interference with the work performance of other employees.
- r. Failure to cooperate with an internal investigation, including, but not limited to, investigations of violations of these work rules.
- s. Failure to maintain the confidentiality of trade secrets or other confidential information belonging to National University or its customers.
- t. Failure to comply with the personnel policies and rules of the National University.

SECTION 5: GRIEVANCE POLICY AND PROCEDURE

5.1 Policy Statement

National University provides for amicable internal procedures to settle grievances. All employees shall be treated fairly and be free from restraint, interference, coercion, discrimination, or reprisal in presenting grievances. Due process shall be always observed, and all cases shall be disposed of expeditiously and judiciously.

No employee shall be denied due process; dismissed, suspended, demoted, or sanctioned with disciplinary action without just, lawful, and valid cause.

5.2 Definition of terms

- 5.2.1 Grievance: This refers to any dispute or controversy involving the terms and condition of employment a faculty, or a group of employees may present to the employer.
- 5.2.2 Due process: This involves the issuance of three notices: Notice to Explain, Notice of Hearing and Notice of Decision which are all prerequisite of due process.

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- 5.2.3 Administrative disciplinary case: When dissatisfaction calls for disciplinary action, it is not to be considered a grievance but an administrative disciplinary case.

5.3 Guidelines:

- 5.3.1 HR is primarily bound to administer, supervise, and endorse the rules and regulations herein stated. All matters in connection to this shall be directly handled by the HR Officer or his duly designated representative.
- 5.3.2 Deans are directly responsible in monitoring the activities of their respective staff / faculty and correct them by imposing sanctions up to verbal and written reprimand and warning.
- 5.3.3 Deans should furnish HR all issued written reprimand and warning. Verbal reprimand should be recorded, including the issues (or violations), date and time of reprimand and/or warning. Copy furnished HR.
- 5.3.4 For serious offenses that require stiffer sanctions, e.g., suspension and dismissal, the case should be referred to HR for further investigation.
- 5.3.5 Only complaints and grievances expressed in writing duly signed by the complainant shall be considered for investigation and resolution.
- 5.3.6 If possible, all complaints and grievances must be filed within the semester when the incident occurred.

5.4 Procedure

- 5.4.1 Submission of incident report: The complainant submits a written account of the charges and the incidents pertaining to it to the HR.
- 5.4.2 Minor cases: Minor cases, where sanctions include reprimand and warning, shall be processed by the Unit Head / Dean.
- 5.4.3 Serious offenses: Offenses where sanctions include suspension and/or termination of employment, shall be endorsed to HR with the incident report and other available documents, for further processing.
- 5.4.4 HR immediately commences an investigation to come up with a report ten (10) working days from receipt of the incident report.
- 5.4.5 Depending on the result of the investigation, HR will issue a Notice to Explain to respondent. Otherwise, HR recommends the dismissal of the case in writing.
- 5.4.6 Should the case prosper, the Campus Head shall create a committee to evaluate the evidence and arrive at a decision. The 4-member Committee shall be composed of the following:
- AVP for HR, FSO Representatives or their authorized representative
 - Faculty Services Director (if applicable)
 - Two (2) members assigned by the Campus Head.
- 5.4.7 The Committee shall conduct hearings and deliberate on the case. It submits a resolution and recommendation five (5) working days upon the creation of the said committee.
- 5.4.8 The Campus Head reviews the committee resolution and recommendation, approves it, or returns the same for some revisions in twenty-four (24) hours upon receipt.

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5.5 Due Process

- 5.5.1 In no way that sanctions are imposed without due process in accordance with the law. All investigations shall be executed fairly, expeditiously, and judiciously.
- 5.5.2 No employee shall be held liable for the commission of an act deemed in violation of National University policies, rules and regulations and procedures unless he/she has been informed and allowed to explain in writing and called to a hearing (with the assistance of counsel, if desired) to respond to the charges, present evidence and rebut the charges. Thus, the following shall be prerequisite to due process:
- A **Notice to Explain**, which includes the allegations, must be issued to respondent who is given five (5) days to explain why a sanction may not be imposed.
 - A **Notice of Hearing**, which indicates the date, time, and venue where respondent can explain his/her side further. Another hearing may be set to give respondent more opportunity to defend himself/herself. Issued three (3) days upon receipt of respondent's explanation.
 - A **Notice of Decision** containing the resolution, sanctions and recommendation of the committee as approved by the Campus Head (or the President, in case of termination) shall be released within ten (10) working days from the conclusion of the hearing.

5.6 Offenses and Sanctions

- 5.6.1 Without prejudice to the provisions of the Labor Code or related laws and regulations, any faculty who commits any offense may be disciplined in accordance with the following table of sanctions after investigation and establishment of guilt according to proper procedures:

a. Reprimand	Decided upon by the Unit Head
b. Written Warning	Decided upon by the Unit Head
c. Suspension	Decided upon by the Disciplinary Committee, with the approval of the Campus Head
d. Termination	Decided upon by the Disciplinary Committee, with the approval of the President

- 5.6.2 A preventive suspension of 30 days, upon approval of the President, shall be imposed on a respondent under investigation for an alleged violation whose presence poses a threat to the life and property and/or well-being of National University, its officers, employees, and students.

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5.7 Decision

- 5.7.1 The decision of the committee is recommendatory and shall be forwarded to the Campus Head for affirmation, modification, revision, and approval.
- 5.7.2 The Campus Head shall give the official decision on the case within three (3) working days. This decision shall be final and executory.
- 5.7.3 For termination cases, the President gives the final approval.
- 5.7.4 A copy of the approved committee's decision shall be issued to the respondent, Head/Dean, Campus Head and HR file (Respondent 's 201 file).
- 5.7.5 Any appeal by respondent is addressed to the President who may or may not overrule the verdict, five (5) days from receipt of the appeal.
- 5.7.6 All case evaluation and decision shall be resolved within twenty (20) days as scheduled below:

Schedule of Case Evaluation and Decision

<i>Submission of incident report to HR</i>	<i>1 working day</i>
<i>Investigation & submission of report</i>	<i>5 working days</i>
<i>Issuance of Notice to Explain</i>	<i>1 working day</i>
<i>Respondent's reply</i>	<i>5 working days</i>
<i>Issuance of Notice of Hearing</i>	<i>2 working days</i>
<i>Evaluation and recommendation of committee</i>	<i>5 working days</i>
<i>Issuance of Notice of Decision</i>	<i>1 working day</i>
Total	20 working days

5.8 Implications of the Policy

This policy shall be a necessary tool to maintain peace and harmony at the workplace. It shall likewise promote discipline in the organization where its members are expected to be directed to the vision-mission of National University.

SECTION 6: OFFENSES AND CORRESPONDING SANCTIONS

- 6.1 The list of offenses and the guiding sanctions found below are not exclusive in the sense that there may be other acts not expressly included but can be considered as similar or analogous to the offenses enumerated and likewise be treated as infractions that may result in immediate disciplinary measure, up to and including dismissal, for a single offense.
- 6.2 Management reserves the right to impose lesser or stiffer penalty for a particular offense depending on mitigating or aggravating circumstances which warrant such action.

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- 6.3 Employees are enjoined to read announcements posted on bulletin boards, attend meetings and general assembly to be informed. Likewise, memoranda, policies, issued rules and regulations, including their revisions, shall form part and parcel of the Code of Discipline. Any violation of the same shall be subject to disciplinary action as may be provided by management.

6.4 List of Offenses and Guiding Sanctions

The following is the list of offenses and the guiding sanctions. There are other acts not expressly included but may be considered similar or analogous to offenses enumerated below. They will likewise be treated as infractions and may be meted disciplinary measures.

OFFENSE	SANCTION		
	1 st	2 nd	3 rd
1. DISHONESTY			
1.1 Misrepresentation / falsification of information during job interview or in application form or in letter of application, submission of fake, tampered, or inaccurate credentials or not giving full details about personal circumstances even if this is / these are found out while employee is already hired and even if employee is already a regular employee.	Dismissal		
1.2 Falsifying / tampering / padding of time records, University, office, or employee records; items for reimbursement, invoice prices, and other similar documents.	Dismissal		
1.3 Obtaining information or materials and supplies fraudulently	Dismissal		
1.4 Misuse of and / or malversation of funds.	Dismissal		
1.5 Misrepresentation of the National University by employee.	Dismissal		
1.6 Conspiracy to commit dishonesty.	Dismissal		
1.7 Tampering with official faculty grading records.	Dismissal		
1.8 Giving false testimony during investigation and/or failure to cooperate with an investigation, including but not limited to, investigations of violations of this Code of Discipline.	Dismissal		
1.9 Accepting money and item of value or other favors from a supplier or any	Dismissal		

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OFFENSE	SANCTION		
	1 st	2 nd	3 rd
party that deals with the National University.			
1.10 Plagiarism, failure to acknowledge or cite sources and other forms of dishonesty in research or product development work	Dismissal		
1.11 Accepting any form of bribes.	Dismissal		
1.12 Spreading lies, half-truths, or unfounded claims.	Dismissal		
1.13 Misrepresentation or any falsehood in accomplishing employee's application form or letter of application and/or attachments to said form/letter of any kind or purpose.	Dismissal		
1.14 Concealment of a known infectious or contagious disease which includes Conjunctivitis, Chickenpox, Tuberculosis, Hepatitis, HIV, COVID-19, etc. which may endanger health or life of co-employees, and students	Dismissal		
1.15 Concealment of any infectious or contagious disease symptoms	Dismissal		
1.16 Concealment of one's knowledge of any employee or person with close contact who is confirmed with infectious or contagious disease	Dismissal		
2. HABITUAL, INEXCUSABLE ABSENTEEISM/ TARDINESS and IMPROPER USE OF OFFICIAL TIME/ ABANDONMENT			
2.1 Inexcusable absences / absences without official leave (AWOL)			
2.2.1 For two consecutive working days	Written reprimand	5-day suspension	Dismissal
2.2.2 For 3-5 consecutive working days	Written reprimand	15-day suspension	Dismissal
2.2.3 For 6 or more consecutive working days	Dismissal		
2.2 Tardiness / Under time			

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OFFENSE	SANCTION		
	1 st	2 nd	3 rd
2.2.1 Four (4) or more tardiness (and/or under time) per pay period for three (3) consecutive times within a calendar year.	Written reprimand and counselling	Written reprimand with warning of Dismissal	Dismissal
2.2.2 Four (4) or more tardiness (and/or under time) per pay period for six (6) non-consecutive times within a calendar year	Written reprimand and counselling	15-day Suspension	Dismissal
2.2.3 Improper use of official time			
2.2.4 Exceeding authorized break time for more than ten minutes	Written reprimand and counselling	5-day Suspension	Dismissal
2.3 Abandonment			
2.3.1 Continuous uninterrupted and unauthorized absence for more than 5 working days and failure to report to office after three days, reckoned from receipt of notice to report/explain absence.	Dismissal		
3. DERELICTION OF DUTY			
3.1 Late or incomplete submission of required reports/ submission of inaccurate data/report to the Unit Head; non-submission of personal data and other information and documents for the 201 File as required by HR.	Written reprimand	5-day Suspension	Dismissal
3.2 Without official business, leaving one's work area during work hours like going to neighboring work areas or standing idly in the corridor or uselessly talking to a fellow employee while one's work is supposed to be going on. If an accident or an untoward incident transpires involving co-workers or resulting in injury or loss of limb or death while the employee is away from his workplace during work hours without	Written reprimand	5-day Suspension	Dismissal

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OFFENSE	SANCTION		
	1 st	2 nd	3 rd
official business, the third sanction immediately applies.			
3.3 Gross inefficiency and incompetence (Based on Performance Evaluation, with two (2) consecutive dissatisfactory rating or Needs Improvement (NI) rating; or one (1) Undesirable (U) rating in the performance evaluation.	Dismissal		
3.4 Failure to inform HR in writing within 30 days through the Unit Head any change in civil status, address, dependents, person to notify in case of emergency, full-time / part-time employment, practice of profession, election or appointment as an officer, or membership in any professional organization	Written Reprimand	Written Warning	5-day Suspension
3.5 Stopping work or preparing to leave work before one's specified off time	Written Reprimand	Written Warning	5-day Suspension
3.6 Being in the office but not using the whole time to work on an assigned task on hand, sitting around, or intentionally killing time	Written reprimand	15-day Suspension	Dismissal
3.7 Sleeping during working hours	5-day Suspension	15-day Suspension	Dismissal
3.8 Playing computer games during work hours	5-day Suspension	15-day Suspension	Dismissal
3.9 Reading newspapers, pocketbooks, and the like at the work area during office hours	Written Reprimand	Written Warning	5-day Suspension
3.10 Using mobile phones, sending short and/or multimedia messages during office time; chatting/social networking using office computers	Written Reprimand	Written Warning	5-day Suspension
3.11 Habitual failure to register IN and Out in biometrics	Written Reprimand	Written Warning	5-day Suspension
3.12 Deliberate absence at departmental meetings and institutional activities	Written Reprimand	Written Warning	5-day Suspension
3.13 Leaving a work assignment during regulation time without prior permission	Written Reprimand	Written Warning	5-day Suspension

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OFFENSE	SANCTION		
	1 st	2 nd	3 rd
4. ABUSE OF BUILT-IN INFLUENCE INHERENT TO ONE’S POSITION			
4.1 Collecting contributions, donations, and other forms of illegal exactions even if employees give voluntarily	Dismissal		
4.2 Asking / receiving favors in exchange of work assignments	Dismissal		
4.3 Asking/causing employees/staff to buy items/merchandise/services even if employees/staff initiate these	Written Warning	5-day Suspension	15-day Suspension
4.4 Initiating and/or requiring employees/staff to participate in unauthorized field trips and/or seminars, with or without a fee.	Dismissal		
4.5 Participating in the above activities (4.4) with or without a fee.	5-day Suspension	Dismissal	
4.6 Selling or causing the selling of items/merchandise or transacting unofficial business within the school premises directly or indirectly through co-employees or through others. Offering of unauthorized private services, professional or otherwise, regardless of nature, directly, or indirectly, to students, faculty members, or employees.	Dismissal		
4.7 Accepting or soliciting favors, gifts, or donations in cash or in kind from any person or outside entities, using the trust relationship existing between the parties to obtain such favors, gifts, or donations or by exerting undue influence over other co-workers	Dismissal		
4.8 Distribution of questionnaires, surveys and other instruments for data gathering by outside entities, using school resources and facilities during or outside office hours without prior written permission from the University thru HR.	Written Warning	15-day Suspension	Dismissal
4.9 Borrowing money from subordinates	Written Warning	5-day Suspension	Dismissal

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4.10 Incurring huge personal financial obligations by using one's connection/position with the National University as basis, with creditors in turn harassing the school, its officers or employees with frequent reminders and notices about such financial obligations of the faculty member / employee.	Written Warning	5-day Suspension	Dismissal, if harassment from creditors persist
4.11 Asking maintenance, co-workers, subordinates, or other staff to do personal chores or unofficial or unauthorized tasks.	Written Warning	5-day Suspension	Dismissal
4.12 Interference with the work performance of other employees.	Written Warning	5-day Suspension	Dismissal
5. INSUBORDINATION			
5.1 Insubordination, including failure to comply with any work assignment issued by management or the supervisor.	Dismissal		
5.2 Refusal to obey lawful orders (verbal or written), instructions or official directives. Or willful disregard of or disrespect for authority.	Dismissal		
5.3 Refusal to wear the employee's ID within the campus or failure to wear it properly.	Written Reprimand	Written Warning	15-day Suspension
5.4 Refusal to abide by the Dress Code.	Written Reprimand	Written Warning	15-day Suspension
6. OFFENSE AGAINST PERSONS			
6.1 Threatening, intimidating, coercing, or harassing a fellow employee, or school official or anybody inside or outside campus at any time.	Dismissal		
6.2 Disorderly conduct, horseplay, or any other behavior, which is dangerous and disruptive.	Dismissal		
6.3 Fighting with, instigating a fight with, assaulting, inflicting (even slight) physical injury or bodily harm to a fellow employee or school official or anybody, inside or outside campus,	Dismissal		

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	1 st	2 nd	3 rd
or during off-campus National University sponsored activities, irrespective as to who started or initiated the fight.			
6.4 Taking the life of a school official, employee or anybody willfully or through gross negligence within the National University premises or on school property at any time including during off-campus sponsored activities.	Dismissal		
6.5 Defamation (libel, slander) or public imputation of a crime, vice, defect, or act tending to cause dishonor or discredit to a school official, student or co-employee.	Dismissal		
6.6 Disrespect, insulting or using profane, insolent, obscene, abusive, or indecent language against a school official, co-employee, student, or visitor.	Dismissal		
6.7 Committing cybercrimes against any person through the Internet (e.g., Web, Facebook, Messenger, Twitter, E-mail, Instagram, etc.)	Dismissal		
6.8 Committing criminal acts whether inside or outside the National University premises.	Dismissal		
7. OFFENSE AGAINST PROPERTY AND PROPERTY RIGHTS			
7.1 Mishandling or careless or improper or gross negligence in the use of university property or equipment, including keys.	5-day Suspension	Dismissal	
7.2 Mishandling or gross negligence resulting to injury or loss of life/limb or damage to and/or loss of property	Dismissal, plus restitution of property		
7.3 Deliberate or malicious destruction of school property or those belonging to students, customers, and fellow employees.	Dismissal, plus restitution of property		
7.4 Unofficial or unauthorized use of university facilities, equipment, space, building.	Written Reprimand	5-day Suspension	Dismissal

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7.5 Theft, pilferage of THE University equipment, materials or supplies or any school resources.	Dismissal		
7.6 Stealing money or any property of a fellow employee or any student.	Dismissal		
7.7 Destroying or attempting to destroy National University records to conceal irregular or illicit transactions to the prejudice of National University.	Dismissal		
7.8 Tampering with the biometrics or related time-keeping equipment to cause it to malfunction	Dismissal		
7.9 Use of unlicensed software in any School equipment, copying/selling/pirating of licensed software, unauthorized use of equipment to develop unauthorized software, programs, or systems for a fee or without a fee or spread viruses or use of school equipment such as computers and DVDs or equivalent technology to view pornographic materials or to engage in computer games and other similar acts in violation of IT Use Policies.	Dismissal		
7.10 Unauthorized revision or reproduction of systems, computer programs, systems configurations or settings and other similar acts in violation of IT Use Policies	Dismissal		
7.11 Unauthorized reproduction, distribution or selling of National University proprietary training/instructional materials or any related documents.	Dismissal		
7.12 Driving the University/motor pool vehicle without authority or allowing an unauthorized person to drive the same	Dismissal		
7.13 Unauthorized use of University logo and other corporate emblems / signage / trademarks	Dismissal		

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	1 st	2 nd	3 rd
7.14 Failure to maintain the confidentiality of trade secrets or other confidential information belonging to the National University or its customers.	Dismissal		
7.15 Using the National University privileged information/confidential data as a subject in theses, dissertations, informal studies, and the like without prior written permission or conducting a study or publishing the results of a study prejudicial to the good name and/or reputation of the organization.	Dismissal		
8. OFFENSES AGAINST DECORUM AND MORALITY			
8.1 Disorderly conduct or serious misconduct inside or outside the National University campus	5-day Suspension	15-day Suspension	Dismissal
8.2 Any indecent conduct and sexual immorality in relation to students, fellow employee, or any outsider including homosexual activities, extramarital affairs, acts of lasciviousness, lewdness, sexual advances, sexual perversion, and the like inside or outside the campus.	Dismissal		
8.3 Indecent acts or willful indecent exposure.	Dismissal		
8.4 Smoking inside the school campus or within the 30-meter radius of the National University.	Written Warning	5-day Suspension	15-day Suspension
8.5 Gambling or taking part in any game of chance for money within the university premises	Dismissal		
8.6 Drunkenness / intoxication or intake of alcoholic drinks during office hours or arriving in the school premises under the influence of liquor or prohibited drugs or regulated drugs.	Dismissal		

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8.7 Possessing / using / selling directly or indirectly through third parties' liquor or prohibited drugs or regulated drugs without prescription.	Dismissal		
8.8 Illegal manufacture, distribution or dispensing of illegal drugs or un-prescribed controlled substances.	Dismissal		
8.9 Reporting for work with illegal drugs or un-prescribed controlled substances in the body	Dismissal		
9. SEXUAL HARASSMENT CASES			
9.1 Grave Offenses shall include, but are not limited to: a. unwanted touching of private parts of the body (genitalia, buttocks, and breast). b. sexual assault; c. malicious touching; d. requesting for sexual favor in exchange for employment, promotion, local or foreign travels, favorable working conditions or assignments, a passing grade, the granting of honors or scholarship, or the grant of benefits or payment of a stipend or allowance, e. other analogous cases.	Dismissal		
9.2 Less Grave Offenses shall include, but are not limited to: a. unwanted touching or brushing against a victim's body; b. pinching not falling under grave offenses; c. derogatory or degrading remarks or innuendoes directed toward the members of one sex, or one's sexual orientation or used to describe a person; d. verbal abuse with sexual overtones; and e. other analogous cases.	Maximum of 6 months of punitive suspension	Dismissal	

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	1 st	2 nd	3 rd
<p>9.3 Light Offenses shall include, but are not limited to:</p> <ul style="list-style-type: none"> a. surreptitiously looking or staring a look of a person's private part or worn undergarments. b. telling sexist/smUTty jokes or sending these through text, electronic mail, or other similar means, causing embarrassment or offense and carried out after the offender has been advised that they are offensive or embarrassing or, even without such advice, when they are by their nature clearly embarrassing, offensive, or vulgar. c. malicious leering or ogling; d. display of sexually offensive pictures, materials or graffiti; e. unwelcome inquiries or comments about a person's sex life; f. unwelcome sexual flirtation, advances, propositions; g. making offensive hand or body gestures at an employee; h. persistent unwanted attention with sexual overtones; i. unwelcome phone calls with sexual overtones causing discomfort, embarrassment, offense or insult to the receiver; and j. other analogous cases. 	Written Reprimand	Maximum of 6 months of punitive suspension	Dismissal
10. OFFENSES AGAINST SECURITY REGULATIONS			
10.1 Disregard of safety rules and common safety practices inherent to the job	5-day Suspension	Dismissal	

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OFFENSE	SANCTION		
	1 st	2 nd	3 rd
10.2 Persistent non-observance of good housekeeping or office / plant /warehouse orderliness and cleanliness	Written Warning	5-day Suspension	Dismissal
10.3 Refusal to submit one's self and belongings to lawful inspection and / or search	Written Warning	15-day Suspension	Dismissal
10.4 Using another employee's ID or permitting another to use one's ID to enter the premises	5-day Suspension	Dismissal	
10.5 Unlawful and/or unauthorized interceding for someone undergoing thorough inspection or investigation by security personnel	Written Warning	5-day Suspension	Dismissal
10.6 Possession, use of, or attempting to smuggle deadly weapons, firearms, ammunition, explosives or fireworks inside the school premises.	Dismissal		
10.7 Failure to observe the Safety Protocols inside the University or in transit using shuttle service which could endanger oneself, co-workers and/or students; including but not limited to wearing of face mask, social distancing, submission of daily health declaration, etc.	1st offense: Verbal/Written Reprimand 2nd offense: Suspension 1-3 days	3rd offense: Suspension 3-5 days 4th offense: Suspension 5-7 days	5th Offense: Dismissal
10.8 Willful non-observance of the Safety Protocols inside the University or in transit using shuttle service which could endanger oneself, co-workers and/or students; including but not limited to wearing of face mask, social distancing, submission of daily health declaration, etc.	1st offense: Written Reprimand 2nd offense: Suspension 1-3 days	3rd offense: Suspension 3-5 days 4th offense: Suspension 5-7 days	5th Offense: Dismissal
10.9 Failure to secure Fit-to-Work prior reporting back to work	1st offense: Written Reprimand 2nd offense: Suspension 1-3 days	3rd offense: Suspension 3-5 days 4th offense:	5th Offense: Dismissal

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OFFENSE	SANCTION		
	1 st	2 nd	3 rd
		Suspension 5-7 days	
11. OTHER OFFENSES			
11.1 Non-compliance with laws of the land, including but not limited to just causes for discipline and termination as provided for under the Labor Code and Manual of Regulations for Private Higher Education Institutions, and other directives and policies not specified in the schedule of general disciplinary sanctions shall be dealt with on a case-to-case basis.	At the discretion of the Discipline Committee / as provided for under the Law		

SECTION 7: EMPLOYEE – STUDENT RELATIONSHIP

National University promotes itself as an institution where people work and/or study together. As a reputable institution, it seeks to promote harmonious relations between all employees, teaching and administrative support personnel and the students. The University believes that the professional relationship between a student and an employee is vital to the achievement of the student's educational development.

The interest and welfare of the students are the faculty member's primary concern. He/she instructs and guides them conscientiously in the pursuit of knowledge and development of positive attitudes and skills.

Students should be respected as persons. Guidelines pertinent to the Law on Sexual Harassment are to be observed.

National University strongly advise all employees to maintain the professional in their dealings with the students, as such, shall expect its employees to abide by these guidelines:

7.1 Employees are expected to socialize and develop professional relationships for an effective functioning of the workplace; provided that these relationships do not interfere with the work performance of the employees and/or relationship with the student. As professionals, all employees, teaching, and non-teaching personnel should maintain a respectable distance with the students.

7.2 Employees are strongly advised not to enter a personal or intimate relationship with any student. This relationship can involve serious risks and may lead to various difficulties. Where a relationship

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exists, then the employee shall immediately inform the immediate superior about it and will be dealt with appropriately.

- 7.3 Employees are constrained to enter any situation that would be cause of allegations for conflict of interest and inappropriate behavior, i.e., solicitation of financial help/borrowing money, asking favors, etc.

Any violation of the above, National University employees may be subject to corrective or disciplinary actions, which may include termination of employment. The corrective or disciplinary action to be imposed will be consistent with the policies and processes stated in this Manual.

SECTION 8: FACULTY – FACULTY RELATIONSHIP

Loyalty, mutual trust, professionalism, and honesty are required in the successful implementation of the University's objectives. These should characterize all the members of the teaching staff.

Professional ethics demands that confidential information concerning a colleague or University be kept inviolate.

Faculty rooms are for the use of the faculty for reading and preparation of lessons. A quiet atmosphere in the Faculty Room should be maintained in due respect to all members. Thus, faculty members must not entertain students in the faculty room.

Faculty is prohibited from selling any merchandise within the campus, even to a fellow faculty, to preserve the intellectual and academic environment in the University.

SECTION 9: FACULTY – ADMINISTRATIVE SUPPORT PERSONNEL RELATIONSHIP

All employees, teaching, and non-teaching personnel, of National University shall be treated with equal importance in the overall achievement of the vision, mission, goals, and objectives of the institution. Hence, no one shall be considered as inferior, and all have equal rights and responsibilities to make the university function as design.

It is of prime importance that all personnel, whether teaching or non-teaching shall be motivated towards one vision and one mission and collaborate to achieve and maintain an atmosphere of oneness and teamwork within the university.

Employees will be required to disclose any covered romantic relationships in the course of their duty in the University. This shall be disclosed to avoid possible future conflict within the organization.

Each one has a role in the University and employees are constrained to enter any situation with any of the Teaching Personnel that would be cause of allegations for conflict of interest and inappropriate behaviour, i.e., solicitation of financial help/borrowing money, asking favors, etc.

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SECTION 10: EMPLOYEE – ADMINISTRATION RELATIONSHIP

To realize the University's objectives, all faculty of National University shall contribute his/her share towards promoting/maintaining close coordination between administration and non-teaching personnel.

In all his/her direct or indirect contacts with the administrators, all faculty shall show proper respect.

In the discharge of all school business and operations, all faculty shall use proper channels and observe protocols.

All written communications shall be signed by the Director of the unit or the Dean of the College/School.

SECTION 11: EMPLOYEE – COMMUNITY RELATIONSHIP

An employee of National University, whether teaching or Administrative Support Personnel, shall perform the duties of citizenship and participate in activities with due consideration of his/her obligations to the students and their family.

An employee of the National University shall actively participate in activities and programs that will advance the University's objectives as well as its community and its national goals. The use of the University's name in any commercial transaction needs an authorization by the proper University officials.

CHAPTER 11 SEPARATION AND TERMINATION

SECTION 1: POLICY STATEMENT

As National University provides continuous employment and stable source of income and benefits, it shall not stand in the way of those seeking better opportunities outside National University. In like manner, it shall not oblige itself to maintain a workforce that is unproductive either by economic reasons or performance inefficiency. Thus, employees shall be allowed to voluntarily resign from their work. It can also resort to involuntary separation of faculty when the situation calls for operation downsizing, reengineering or reorganization, abolition of the position and closure of some operations. National University shall also terminate those who perform below expectations, those who cannot comply with its rules and regulations, all within the provisions of the law.

SECTION 2: SEPARATION

2.1 An employee is considered separated from service in any of the following reasons:

- a. voluntary resignation
- b. retirement (early or compulsory)
- c. termination for cause

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- d. redundancy
- e. retrenchment
- f. death while in service
- g. medically retired as provided by law

2.2 A benefit package shall be given to employees who retire, are retired, medically retired, retrenched, died in service, or affected by redundancy as provided by the Labor Code.

2.3 All separation from service must be covered by documents such as:

- a. Resignation Letter
- b. Acceptance of Resignation
- c. Application for Retirement
- d. Notice of Termination
- e. Doctor's Recommendation (for medical grounds)
- f. DOLE Separation or Termination Notice
- g. Clearance Form
- h. Quit Claim

SECTION 3: VOLUNTARY RESIGNATION/SEPARATION

3.1 An employee may terminate the employee-employer relationship without just cause by submitting a written notice to the Dean/Program Chair/Coordinator at least 30 days from date of termination. For employees who voluntarily leaves National University, a written notice must be filed thirty (30) days prior to effective date of resignation.

3.2 Letters of resignation must be addressed to the immediate superior. The immediate superior must acknowledge receipt and signify acceptance of the resignation. Copy of the signed letter should be forwarded to HR within twenty-four (24) hours from receipt and acceptance to signal processing of clearance. Management reserves the right to require the resigning employee to render the 30-day notice.

3.3 HR shall conduct an exit interview of resigning employee before the clearance is signed by the HR Lead or AVP for HR.

3.4 An employee who resigns from service for any cause other than disciplinary reasons and wishes to reapply shall be treated as a new applicant, thus the usual probationary period of employment is required.

3.5 Without a formal notice, National University may hold the employee liable for damages.

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SECTION 4: TERMINATION FOR CAUSE

- 4.1 The National University reserves the right to terminate an employee's services due to the following reasons:
- 4.1.1 Serious violation of rules and regulations as defined in the National University Code of Conduct;
 - 4.1.2 Failure to attain satisfactory performance as provided by the Standard Performance Evaluation System; and
 - 4.1.3 Abandonment of work or AWOL for six (6) consecutive working days without valid or justifiable reason (which shall be meted appropriate disciplinary sanction up to dismissal).
- 4.2 All termination for cause must follow the procedure as provided by Law.

SECTION 5: RETIREMENT

- 5.1 **Compulsory Retirement.** Employees retire when they have reached sixty (60) years of age.
- 5.2 **Optional Retirement.** They may also opt for an early retirement if they have served National University for at least ten (10) continuous years on a full-time basis, they have reached the age of fifty (50) and management has approved the request for early retirement.

SECTION 6: DEATH

- 6.1 Employees who die before reaching the age of sixty (60) while in service shall be entitled to bereavement benefits as provided for in the Chapter 7, Section 14 of this Manual and the conditions set forth in National University Group Life Insurance Policy.
- 6.2 A Medical Certificate on the cause of death and a Death Certificate are required to process the bereavement benefits.

SECTION 7: MEDICAL DISABILITY

- 7.1 National University physician shall determine the disability status of an employee. It is a just cause for termination if faculty is found to be suffering from illness which by law prohibits him/her from discharging duties, or where continued employment would be prejudicial to his health, as well as the health of colleagues.
- 7.2 A certification by a registered public or competent physician confirming that a disease/disability cannot be cured within six (6) months even with sufficient medication and treatment shall be a requirement prior to termination of employment.

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- 7.3 The final recommendation of the Director of Health Services shall formalize the faculty's disability status and serve as a requirement for benefits.

SECTION 8: REDUNDANCY

- 8.1 Management may declare certain job positions redundant due to streamlining of operations, changes in procedures and processes from manual to automation and other valid reasons stipulated by law. In such case, HR shall serve a thirty (30) day notice before the effective date of redundancy.
- 8.2 Employees whose positions are declared redundant may be given the choice to stay with National University on condition that other departments can absorb them. Otherwise, separated employees are entitled to the benefits provided for by law.
- 8.3 Employees who opt to stay must accept changes in their employment classification and/or position once transferred. However, the law on diminution of pay will be observed.
- 8.4 Without available positions, affected employees will be separated.

SECTION 9: RETRENCHMENT

- 9.1 An employee may be severed from work for the following reasons:
- Economic reasons or failing financial performance/enrollment
 - Downsizing
 - Cost saving measure
- 9.2 A formal notice shall be served to affected employee thirty (30) days prior to retrenchment.

SECTION 10: EXCLUSIVE SERVICE

- 10.1 Full time employee are required to devote their whole time and attention in the service of National University. Under pains of dismissal, National University does not allow full time employees to take on outside employment, also known as 'moonlighting'.
- 10.2 National University reserves the right to subject the employee to a disciplinary action such as dismissal, should the HR found the employee guilty of "moonlighting".

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SECTION 11: LAST PAY AND CLEARANCE

11.1 Once the signed and accepted resignation letter is received by the Human Resources Office, the Office will inform immediately the Payroll Office to hold the processing of the payroll of the said employee.

11.2 National University adopts the policy “Last Pay Pending Clearance”. Resigned employees shall receive their last paycheck upon the compliance of the following:

- 11.2.1 submission of clearance to HR and Accounting Department;
- 11.2.2 completion of an exit interview;
- 11.2.3 surrender of the National University ID, Employee Manual, BDO ATM Card and HMO Card (if any); and
- 11.2.4 submission of any pending liquidation of cash advances.

11.3 The resigned employee shall visit the following Offices included in the Clearance Signing, with the Human Resources as the last Office to visit, when all have been signed:

<i>Administrative Support Personnel</i>	<i>Teaching Personnel</i>
<ul style="list-style-type: none"> ITRO (unreturned equipment) Accounting (unliquidated expenses) Payroll (government ID number concern) Learning Resource Center (unreturned books) 	<ul style="list-style-type: none"> ITRO (unreturned equipment) Accounting (unliquidated expenses) Payroll (government ID number concern) Human Resource (pre-employment requirement of newly hired, Annual Physical Exam (APE) for full time faculty, Exit Interview, etc.) Learning Resource Center (unreturned books) Registrar (non-submission of grades) Dean’s Office (academic requirements)
<i>Human Resource Office</i>	<i>Human Resource Office</i>
<ul style="list-style-type: none"> pre-employment requirement of newly hired, Annual Physical Exam (APE) Exit Interview Return of ID Return of Employee Manual (if any) Return of BDO ATM Card and HMO Card (if any) 	<ul style="list-style-type: none"> pre-employment requirement of newly hired, Annual Physical Exam (APE) Exit Interview Return of ID Return of Employee Manual (if any) Return of BDO ATM Card and HMO Card (if any)

11.4 The above compliance shall be completed not later than fifteen (15) days from the effectivity of the separation. Failure to do may mean delay in the release of the Last Pay.

11.5 Only upon the submission of the duly signed Clearance form shall the HR endorse the processing of the last pay to the Payroll Office.

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MANUAL REVISION GUIDELINES

This Manual has at the best of all possibilities run through all possible policies and guidelines for the employees and management. However, this does not have to be static and beyond repose. Any changes that will bring about beneficial changes to the organization shall be welcome and made.

The Human Resource Office shall have the responsibility to annually review the contents of this Manual and seek the upper management for approval on any changes in the policies and provisions in this Manual. The changes shall be based on any legislations passed and other new labor rules and regulations issued by the Department of Labor and Employment.

Any changes in this Manual shall be made in writing and signed by the Assistant Vice President for Human Resource and the President of the University. No part of this original manual shall be amended and deleted. Hence, the changes shall be communicated in a form of Policy Memo and made part of and attached to this Manual as annex.

The Policy Memorandum shall follow the guidelines set forth by the Quality Management Office. The memo shall include the date of approval, document number and signatures of the approvers.

Any changes in this Faculty Manual shall be tracked and monitored using the QMO Policy Change Monitoring Form.

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LIST OF ACRONYMS

Acronyms	Full Details
NU	National University
CHED	Commission on Higher Education
NCAA	National Collegiate Athletic Association
UAAP	University Athletic Association of the Philippines
PACU	Philippine Association of Colleges and Universities
ASAHIL	Association of Southeast Asian Institutions of Higher Learning
IAU	International Association of Universities
CEO	Chief Executive Officer
VP	Vice President
NPC	National Privacy Commission
TESDA	Technical Education and Skills Development Authority
ISO	International Organization for Standardization
PACUCOA	Philippine Association of Colleges and Universities Commission on Accreditation
HR	Human Resource
MRF	Manpower Request Form
CV	Curriculum vitae
SPES	Standard Performance Evaluation System
ME	Meets Expectation
BDO	Banco de Oro
ATM	Automated teller machine
ID	Identity document
ASP	Administrative Support Personnel
OB	Official Business
OT	Overtime
SSS	Social Security System
HDMF	Home Development Mutual Fund
CBA	Collective Bargaining Agreement
BIR	Bureau of Internal Revenue
SSS	Social Security System

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Acronyms	Full Details
SM SLA	SM Savings and Loan Association
DOLE	Department of Labor and Employment
AWOL	Absent without official Leave
NUIS	NU Information System
PERAA	Private Education Retirement Annuity Association
HMO	Health Maintenance Organization
FDP	Faculty Development Program
TOS	Terms of Service
OTE	Online Teacher Evaluation
NDD	National Direct Dialing
IDD	International Direct Dialing
TOR	Transcript of Records
SO	Special Order
KRA	Key Responsibility Areas
EXECOM	Executive Committee
MANCOM	Management Committee
IRR	Implementing Rules and Regulations
NPC	National Privacy Commission
PMP	Privacy Management Program
PIA	Privacy Impact Assessment
HMO	Health Maintenance Organization
TNA	Training Needs Analysis
PDP	Personnel Development Plan
NTSP	National Training Service Program
TIN	Taxpayer Identification Number
OSH	Occupational Safety and Health
HESACom	Health and Safety Committee
PAN	Personnel Action Notice

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CONFIDENTIALITY AGREEMENT

I understand that as an employee of National University, I may have access to confidential information that is needed to perform my job duties and responsibilities.

I understand that vital and confidential information and documents and records of National University must be treated with utmost confidentiality and must not be utilized for an employee's personal benefit or gain nor to be divulged to unauthorized persons or entities whether connected with National University. If one is in custody of confidential records, one must safeguard the confidentiality of any information in such records as well as those conveyed to him/her in confidence. Examples of records classified as confidential are personnel records (addresses, phone numbers, etc.), salary records, examination papers, students' records and grades, performance evaluation results, medical records, office memoranda, psychological test reports, and others.

I agree that I cannot and must not divulge or provide access to confidential information to persons without proper authorization. Likewise, I am not allowed to access confidential information without seeking proper authorization and any questions or clarifications should be addressed to my supervisor or any Human Resource representative.

I agree and I shall abide.

I agree.

Attested by:

Printed Name and Signature of Employee
Date:

NU Human Resource Representative
Date:

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EMPLOYEE CONSENT FOR THE PROCESSING, RELEASE AND RETENTION OF PERSONAL INFORMATION

I hereby agree to provide my personal information as defined by the Data Privacy Act of 2012 (R.A. 10173) to the National University for it to be processed concerning my application/employment in the University per the privacy statement of the National University and their policies and procedures. This agreement shall be valid from the date my personal information is collected until the period of my personal information disposal as stated in the University privacy policies or until such time that I submit a written revocation/cancellation of this agreement to the University, whichever comes first.

By signing this Consent Form, I hereby acknowledge that I have fully read and understood the context of this Data Privacy Statement and Policy of the National University.

Printed Name and Signature of Employee

Date:

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ACKNOWLEDGEMENT

I have received the current National University Employee Manual, read, and understood the material covered.

I have had the opportunity to ask questions about the policies and guidelines in this Manual, and I understand that any future questions that I may have about the Manual, or its contents will be answered by the Human Resources or the designated representative upon request.

I agree to and will comply with the policies, rules, regulations, procedures, and other guidelines set forth in the Manual. I am aware that should I violate any of the provisions in the Manual, I will be subjected to disciplinary action in accordance with the penalties set forth. I further acknowledge that neither the Manual nor its contents are an express or implied contract regarding my employment.

I understand that National University reserves the right to revise, modify, or abolish any or all the policies, benefits, rules, and regulations contained or described as it deems appropriate, with or without notice.

This Manual is a National University property and must be returned upon separation.

I agree.

Attested by:

Printed Name and Signature of Employee
Date:

NU Human Resource Representative
Date:

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Academic Operations

Academic Operations Division aims to implement effective shared service approaches to attain an enhanced program and service quality, improved operational activities, as well as the ability to ensure consistent approaches and levels of expertise across the different NU campuses. Developing and refining policies and processes for university-wide academic operations lies at the core of the Division's mission. Proposals for new academic programs undergo rigorous review by the Division before reaching the Executive Committee for final decision. The Division also implements a system of regular evaluation and monitoring for faculty ranking.

Administrative Services

Administrative Services Division is in charge of promoting and implementation of the strategic plans to support the campus operations; initiate and implement best and effective practices in administrative functions; leading, directing and monitoring the units under the Office to achieve maximum output and ensure resolutions of concerns affecting the school and academic operations; and promoting the welfare of its people as it creates a pleasant work environment for the faculty and other employees.

Corporate Affairs

Corporate Affairs Division is in-charge of site development and expansions; handling future business development for the campuses (i.e., new programs, revenue generators, etc.); complementing the student population growth with NU Main's physical facilities capacity; and assisting in securing authority to offer programs from CHED and the Department of Education for the new campuses in coordination with the QMO.

Finance Services

Finance Services Division is primarily responsible for managing the operations of the Finance Division; reviewing and approving all disbursements based on authority matrix; evaluating performance of direct reports and mentor if needed; interpreting the result of operations to the management periodically; and championing any cost efficiency initiatives.

Information Technology

Information Technology Division is responsible in the overall planning, organizing, and execution of all IT functions and technology resource across campuses. This includes directing all IT operations to meet the stakeholders' requirements as well as the support and maintenance of existing applications and

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development of new technical solutions. The Division will lead the direction of achieving the University's goal on key digital transformation.

Human Resources

The Unit is primary responsible for hiring new employees, Administrative Support Personnel and teaching personnel, and this involves screening and attracting the right candidates for available positions; in charge of all human resource related concerns, initiative, situations and support for the institution; promoting performance monitoring, evaluation and improvement of personnel; developing the service competencies of Administrative Support Personnel and teaching personnel in coordination with the Academics Offices; and keeping, control and maintenance of all the employee records and files.

Quality Management Office

The Unit is primarily responsible for the over-all documents and manuals repository; in-charge of policy formulation, review, control and dissemination; in charge of regular internal audits on policies and procedures; Ensures policies and protocols are being followed; providing regularly reports to the President on internal processes related concerns and situations related to the ISO accreditation, and audit findings; and working on the accreditation and re-certification of programs for CHED, TESDA, PACUCOA and international ranking bodies.

Campus Operations

Operations in all campuses are led by the Vice President for Operations for NU Main and the Executive Director for other campuses. The campus head is responsible for managing all aspects of the educational program. They are responsible in the day-to-day operations and governance of the campus; supporting the campus planning and reporting process; establishing a campus-wide vision of commitment to high standards and the success of all students. They are also responsible for the implementation of the policies and operations relating to institutional governance, academic organization and governance, quality management implementation and enhancement strategy and processes; and in directing the accreditation and re-certification of programs for CHED, PACUCOA and other regulatory agencies.

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ANNEX B: 2023 FACULTY RANKING SYSTEM

The NU Faculty Ranking System shall have two (2) tracks:

- A. **Academic Track** – A faculty is assigned to this track under the following conditions:
 - A faculty is employed full-time at NU.
 - A part-time (PT) faculty with previous and/or current full- or part-time work on teaching.
 - A part-time (PT) faculty without teaching, industry work experience, or licensure eligibility.
- B. **Industry Practitioner Track** – A faculty may be assigned to this track if he or she is a full-time industry practitioner and is employed as a part-time faculty of NU to teach course/s aligned with his or her industry experience.

Each track has assigned academic ranks with defined criteria for qualification. Failing to satisfy any requirement for a given rank shall disqualify a faculty from being assigned to it.

A. ACADEMIC TRACK

Guidelines:

1. Faculty should possess the relevant undergraduate degree for the assigned discipline.
2. Faculty handling courses under programs with licensure examinations should possess a valid PRC license.
3. Teaching experience should be at least Senior High School (SHS) Level for programs under CHED.
4. Relevant industry experience refers to a work assignment in the program or the discipline the faculty is expected to teach.
5. The earned degree in an allied or aligned program shall be the one specified in the program's CHED Policies, Standards and Guidelines (PSG).
6. The following academic degrees with licensure eligibility are classified as “**Special Degrees.**” Graduates of these programs take at least six (6) years before they are eligible to take the licensure or board examination:
 - BS Architecture
 - Bachelor of Laws with corresponding Bar Eligibility
 - Doctor of Dental Medicine
 - Doctor of Medicine
 - Doctor of Optometry
 - Doctor of Veterinary Medicine
7. Degrees bestowed by another educational institution, such as honorary degrees, are not considered completed degrees and are excluded from academic qualification.
8. The Faculty Services Office (FSO) shall evaluate if an earned 2-year post-baccalaureate degree or a postgraduate diploma or certificate can be a substitute for a master’s degree for the Assistant Professor 1 rank.

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9. The OTE rating for on-board faculty shall be the average of the three (3) most recent evaluations, while the most recent one shall be considered for the SPES rating. Only the Final OTE rating shall be considered in getting the average.
10. The Faculty Services Office (FSO) shall coordinate with the concerned offices in certifying the submitted documents to support the ranking application:
 - Campus HRO for academic and employment credentials
 - Campus COMEX for community extension
 - OAVPRD for research publications
 - Center for Innovation for Technical Innovation and Commercialization

Academic Track Faculty Ranking Matrix:

MINIMUM QUALIFICATIONS	ADDITIONAL QUALIFICATIONS			
	INSTRUCTOR 1	INSTRUCTOR 2	INSTRUCTOR 3	INSTRUCTOR 4
Instructor Rank <ul style="list-style-type: none"> o College Degree in an aligned/allied program o New faculty: Dean's evaluation of at least 80 points o On-board faculty <ul style="list-style-type: none"> ▪ OTE rating of at least 5.00 ▪ SPES rating of at least 4.00 <p>For those with TESDA qualifications teaching only in TESDA programs: graduate of the relevant TESDA program with certification or valid PRC license in the case of Dental Hygienist and Dental Technologist</p>	<ul style="list-style-type: none"> o Minimum requirements for the level 	<ul style="list-style-type: none"> o Completed at least nine (9) units in an aligned/allied master's program or Bachelor of Laws (LLB) program <p>For faculty handling only TESDA courses:</p> <ul style="list-style-type: none"> o At least one (1) year of teaching experience in the program. 	<ul style="list-style-type: none"> o Completed at least 15 units in an aligned/allied master's program or Bachelor of Laws (LLB) program o At least two (2) years of teaching/relevant industry experience <p>For faculty handling only TESDA courses:</p> <ul style="list-style-type: none"> o At least three (3) years of teaching experience in the program. 	<ul style="list-style-type: none"> o Completed the academic requirements in an aligned/allied master's program or Bachelor of Laws (LLB) program o At least three (3) years of teaching/relevant industry experience <p>For faculty handling only TESDA courses:</p> <ul style="list-style-type: none"> o At least five (5) years of teaching experience in the program.
MINIMUM QUALIFICATIONS	ASSISTANT PROFESSOR 1	ASSISTANT PROFESSOR 2	ASSISTANT PROFESSOR 3	ASSISTANT PROFESSOR 4
Assistant Professor Rank <ul style="list-style-type: none"> o Any of the following: <ul style="list-style-type: none"> ▪ Master's degree aligned or allied to the program ▪ Special Degrees classification with licensure eligibility o New faculty: Dean's evaluation of at least 85 points o On-board faculty <ul style="list-style-type: none"> ▪ OTE rating of at least 5.00 ▪ SPES rating of at least 5.00 	Minimum requirements for the level *A 2-year post-baccalaureate degree or postgraduate diploma or certificate in the relevant discipline may be considered in lieu of a master's degree for Assistant Professor 1	<ul style="list-style-type: none"> o At least three (3) years of teaching and/or relevant industry experience o At least one (1) certified community service or institutional/college/professional committee work within the last five (5) years 	<ul style="list-style-type: none"> o At least four (4) years of teaching and/or relevant industry experience o At least one (1) certified community service or institutional/college/professional committee work within the last five (5) years o At least one (1) scientific^a or creative^b work for the past five (5) years 	<ul style="list-style-type: none"> o At least five (5) years of teaching and/or relevant industry experience o At least one (1) certified community service or institutional/college/professional committee work within the last five (5) years o At least two (2) scientific^a or creative^b works for the past five (5) years

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<ul style="list-style-type: none"> Attendance in at least one (1) relevant seminar/training/conference within a year of application Active membership in a professional organization 				
MINIMUM QUALIFICATIONS	ASSOCIATE PROFESSOR 1	ASSOCIATE PROFESSOR 2	ASSOCIATE PROFESSOR 3	ASSOCIATE PROFESSOR 4
<ul style="list-style-type: none"> Associate Professor Rank New faculty: Dean's evaluation of at least 85 points On-board faculty <ul style="list-style-type: none"> OTE rating of at least 6.00 SPES rating of at least 5.00 Active membership in a professional organization At least one (1) certified community service or institutional/college/professional committee work within a year of application At least one (1) relevant external seminar/workshop speakership or paper presentation within a year of application 	<ul style="list-style-type: none"> Any of the following <ul style="list-style-type: none"> Completed the academic requirements in an aligned or allied doctoral program Doctoral degree in a program not aligned or allied to the discipline assignment <ul style="list-style-type: none"> For Special Degrees, any of the following: <ul style="list-style-type: none"> Master's degree in a related field Fellow of a PRC-accredited, Dental, or Optometry specialty Diplomate of a PRC-accredited Medical specialty At least six (6) years of teaching and/or relevant industry experience 	<ul style="list-style-type: none"> Any of the following: <ul style="list-style-type: none"> Doctoral degree in an aligned or allied program For Special Degrees, any of the following: <ul style="list-style-type: none"> Master's degree in a related field Fellow of a PRC-accredited, Dental, or Optometry specialty Diplomate of a PRC-accredited medical specialty At least six (6) years of teaching and/or relevant industry experience; Any of the following for the past five (5) years: <ul style="list-style-type: none"> At least one (1) scientific or creative work published in Scopus/ISI venue Technical innovation^c Ongoing Commercialization/Start-up project <p>Requirements if the doctoral degree is not in an allied or aligned program of the assigned discipline:</p> <ul style="list-style-type: none"> At least eight (8) years of relevant teaching and/or relevant industry experience in the discipline Any of the following outputs aligned to the discipline for the past five (5) years: 	<ul style="list-style-type: none"> Any of the following: <ul style="list-style-type: none"> Doctoral degree in an aligned or allied program For Special Degrees, any of the following: <ul style="list-style-type: none"> Master's degree in a related field Fellow of a PRC-accredited, Dental, or Optometry specialty Diplomate of a PRC-accredited medical specialty At least eight (8) years of teaching and/or relevant industry experience. Any of the following for the past five (5) years: <ul style="list-style-type: none"> At least two (2) scientific or creative works published in Scopus/ISI venue Technical innovation^c equivalent to two (2) Scopus/ISI publications Ongoing Commercialization/Start-up project <p>Requirements if the doctoral degree is not in an allied or aligned program of the assigned discipline:</p> <ul style="list-style-type: none"> At least ten (10) years of relevant teaching and/or relevant industry experience in the discipline Any of the following outputs aligned to the discipline for the past five (5) years: 	<ul style="list-style-type: none"> Any of the following: <ul style="list-style-type: none"> Doctoral degree in an aligned or allied program For Special Degrees, any of the following: <ul style="list-style-type: none"> Master's degree in a related field Fellow of a PRC-accredited, Dental, or Optometry specialty Diplomate of a PRC-accredited medical specialty At least ten (10) years of teaching and/or relevant industry experience; Any of the following for the past five (5) years: <ul style="list-style-type: none"> At least three (3) scientific or creative works published in Scopus/ISI venue Technical innovation^c equivalent to three (3) Scopus/ISI publications Ongoing Commercialization/Start-up project <p>Requirements if the doctoral degree is not in an allied or aligned program of the assigned discipline:</p> <ul style="list-style-type: none"> At least 12 years of relevant teaching and/or relevant industry experience in the discipline Any of the following outputs aligned to the discipline for the past five (5) years:

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		- At least two (2) scientific or creative works published in Scopus/ISI venue - Technical innovation ^c equivalent to two (2) Scopus/ISI publications - Approved Commercialization/Start-up project	- At least three (3) scientific or creative works published in Scopus/ISI venue - Technical innovation ^c equivalent to three (3) Scopus/ISI publications - Approved Commercialization/Start-up project	- At least four (4) scientific or creative works published in Scopus/ISI venue - Technical innovation equivalent to four (4) Scopus/ISI publications - Approved Commercialization/Start-up project
MINIMUM QUALIFICATIONS	FULL PROFESSOR 1	FULL PROFESSOR 2	FULL PROFESSOR 3	FULL PROFESSOR 4
Full Professor Rank o Doctoral degree in an aligned or allied program or Diplomate of a PRC- accredited Dental or Optometry specialty, or Fellow in a Medical Specialty o At least 12 years of teaching and/or relevant industry experience o New faculty: Dean's evaluation of at least 90 points o On-board faculty <ul style="list-style-type: none"> OTE rating of at least 6.00 SPES rating of at least 6.00 o Active membership in a professional organization o At least one (1) certified community service or institutional/college/professional committee work within a year of application o At least one (1) relevant external seminar/workshop speakership or paper presentation within a year of application	o Any of the following for the past five (5) years: <ul style="list-style-type: none"> - At least four (4) scientific or creative works published in Scopus/ISI venue - Technical innovation^c equivalent to 4 (4) Scopus/ISI publications - Ongoing Commercialization/Start-up project 	o Any of the following for the past five (5) years: <ul style="list-style-type: none"> - At least six (6) scientific or creative works published in Scopus/ISI venue - Technical innovation^d equivalent to six (6) Scopus/ISI publications - Ongoing Commercialization/Start-up project o Involvement in at least one (1) completed externally funded project	o Any of the following for the past five (5) years: <ul style="list-style-type: none"> - At least eight (8) scientific or creative works published in Scopus/ISI venue - At least two (2) Q1 publications - Technical innovation^c equivalent to eight (8) Scopus/ISI publications - Ongoing Commercialization/Start-up project o Involvement in at least two (2) externally funded projects within the last 10 years o Holds a leadership ^d position in an external organization	o Any of the following for the past five (5) years: <ul style="list-style-type: none"> - At least ten (10) scientific or creative works published in Scopus/ISI venue - Technical innovation^c equivalent to 10 Scopus/ISI publications - Ongoing Commercialization/Start-up project o At least three (3) Q1 publications within the last five (5) years o Involvement in at least three (3) externally funded projects within the last 15 years o Holds a leadership ^d position in an external organization

Notes:

^a Scientific output includes published research, paper presentation, completed IFRPP, and research project reports. Unless specified, published research does not necessarily have to be indexed in Scopus or ISI.

^b Creative work includes literary, visual artwork, design, architectural work, software, and other manifestation of creative effort that has been published, acknowledged, presented, copyrighted, or registered.

^c Technical Innovation includes patents, utility models, and trade secrets with the following equivalences:

- 1 utility model = 2 Scopus/ISI publications
- 1 patent or trade secret = 3 Q1 publications
- 1 patent or trade secret = 2 utility models or 4 Scopus/ISI publications

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- 3 patents = 1 start-up or licensing (commercialization)

^d Leadership position includes any of the following: officer/board member of professional or national organizations, editorial board of reputable journals, member of CHED RQAT or CHED / DOST Technical Panel, or accreditor of recognized accrediting agencies.

Definition of Copyright, Patent, Utility Model, Trade Secret, Commercialization and Start-up:

- **Copyright** are original *literary and artistic works* such as Books & other writings; periodicals; Lectures, addresses; letters; Dramatic-musical compositions; Musical compositions; Drawing, painting, architecture, sculpture; Ornamental designs, applied art; Illustrations, maps; drawings; plastic works; Photographs; Audiovisual works; Illustrations & advertisements; Computer programs; and Other literary/scholarly/scientific/artistic works (Part 4, Sec. 172.1, R.A. 8293).
- **Patent** - Any technical solution of a (technical) problem in any field of human activity which is *new, involves an inventive step and is industrially applicable* shall be patentable. It may be, or may relate to, a product, or process, or an improvement of any of the foregoing. (Sec. 7, R.A. No.165a and Chap. 2, Section 21, R.A. 8293).
- **Utility Model** - Special Provisions Relating to Utility Models (Chapter XII, Section 109.1, R.A. 8293)
 - An invention qualifies for registration as a utility model if it is *new and industrially applicable*.
 - Section 21, "Patentable Inventions", shall apply except the reference to inventive step as a condition of protection.
- **Trade Secret** - Protection of Undisclosed Information (n, TRIPS), (Part 1, Section 4, R.A. 8293).
 - Undisclosed information or Trade Secret shall be any form or type of financial, business, scientific, technical, economic or engineering information, including the whole or any portion or phase of any process, procedure, formula, improvement, pattern, plan, design, prototype, code, compilation, program, method, technique, or listing of names, addresses or telephone numbers, whether tangible or intangible, stored, compiled, or memorialized physically, electronically, graphically, photographically, or in writing (Chapter 2, Article 3, WTO, TRIPS Agreement).
 - The Agreement on Trade-Related Aspects of Intellectual Property Rights (TRIPS) is an international legal agreement between all the member nations of the World Trade Organization (WTO). It establishes minimum standards for the regulation by national governments of different forms of intellectual property (IP) as applied to nationals of other WTO member nations.
- **Commercialization** - the process of bringing new goods, products and services, or a combination thereof, to market for economic gain (Rule 2, Section 1, R.A. 11337)
- **Startup** – any *person or entity* registered in the Philippines which aims to develop an innovative product, process, or business model (Rule 2, Section 1, R.A. 11337).

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B. INDUSTRY PRACTITIONER TRACK

Guidelines:

1. The Industry Practitioner Track is exclusive to NU's part-time (PT) faculty with relevant industry experience, i.e., in line with the academic program being handled. Applicants with full-time experience in an educational setting will be classified under Academic Track.
2. Faculty handling TESDA courses possessing only TESDA qualifications (graduate of the TESDA program with certification or valid PRC license in the case of Dental Hygienist and Dental Technologist) shall be assigned to Lecturer 1 to 3 only.
3. An industry practitioner shall be assigned the rank of Lecturer 1 to 3 or Professional Lecturer 1 to 6.
4. All faculty assigned a Lecturer, or a Professional Lecturer rank should satisfy the following:
 - Possess at least a bachelor's degree with relevant industry experience
 - Attain the required ratings as shown:

RANK	Dean's Evaluation (New Faculty)	OTE and SPES (On-Board Faculty)
Lecturer 1 to 3	80 points	OTE: at least 5.00 SPES: at least 4.00
Professional Lecturer 1 to 3	85 points	OTE: at least 5.00 SPES: at least 5.00
Professional Lecturer 4 to 6	85 points	OTE: at least 6.00 SPES: at least 5.00

5. A Professional Lecturer may be assigned to the next higher rank based on the evaluation under any of the following conditions:
 - industry experience in a Top 500 company, local or international setting;
 - holds two or more licensure eligibility;
 - Holds at least a master's degree or a relevant 2-year post-baccalaureate or postgraduate diploma/certificate;
 - Internationally recognized certification, except vendor-specific certification, as endorsed by the Dean.
6. A Professional Lecturer intending to apply or transfer to a full-time position shall be evaluated based on the Academic Track Faculty Ranking Matrix.
7. The following academic degrees with licensure eligibility are classified as **"Special Degrees."** Graduates of these programs take at least six (6) years before they are eligible to take the licensure or board examination:
 - BS Architecture
 - Bachelor of Laws with corresponding Bar Eligibility
 - Doctor of Dental Medicine
 - Doctor of Medicine
 - Doctor of Optometry

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Industry Practitioner Track Faculty Ranking Matrix:

RANK	QUALIFICATIONS
Lecturer 1	At least one (1) year of relevant industry experience
Lecturer 2	At least two (2) years of relevant industry experience
Lecturer 3	Any of the following: <ul style="list-style-type: none"> - At least three (3) years of relevant industry experience - A graduate of a 4-year degree program with no industry experience but with a valid PRC License for the profession
Professional Lecturer 1	Any of the following: <ul style="list-style-type: none"> - At least four (4) years of relevant industry experience - At least two (2) years of work experience in a middle management position in the industry - Special Degrees with licensure eligibility but without industry experience
Professional Lecturer 2	Any of the following: <ul style="list-style-type: none"> - At least six (6) years of relevant industry experience - At least three (3) years of work experience in a middle management position in the industry <p>For Special Degrees with licensure eligibility: at least two (2) years of relevant industry experience</p>
Professional Lecturer 3	Any of the following: <ul style="list-style-type: none"> - At least eight (8) years of relevant industry experience - At least four (4) years of work experience in a middle management position in the industry <p>For Special Degrees with licensure eligibility: at least four (4) years of relevant industry experience</p>
Professional Lecturer 4	Any of the following: <ul style="list-style-type: none"> - At least ten (10) years of relevant industry experience - At least five (5) years of work experience in a top management position in the industry <p>For Special Degrees with licensure eligibility, any of the following:</p> <ul style="list-style-type: none"> - at least six (6) years of relevant industry experience - holds a middle management position in the industry
Professional Lecturer 5	Any of the following: <ul style="list-style-type: none"> - At least 13 years of relevant industry experience - At least six (6) years of work experience in a top management position in the industry <p>For Special Degrees with licensure eligibility, any of the following:</p> <ul style="list-style-type: none"> - at least nine (9) years of relevant industry experience

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RANK	QUALIFICATIONS
	<ul style="list-style-type: none"> - holds a top management position in the industry
Professional Lecturer 6	<p>Any of the following:</p> <ul style="list-style-type: none"> - At least 16 years of relevant industry experience - More than six (6) years of work experience in a top management position in the industry, plus professional recognition at the national level <p>For Special Degrees with licensure eligibility, any of the following:</p> <ul style="list-style-type: none"> - at least 12 years of relevant industry experience - holds a top management position in the industry, plus professional recognition at the national level

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ANNEX C: CHECKLIST OF REQUIREMENTS FOR NEW EMPLOYEES

Personal Data

- a. Accomplished Information Sheet (NU provided form)
- b. pcs. 2x2 pictures (white background)
- c. Photocopy of Birth Certificate
- d. Photocopy of marriage contract if married
- e. Photocopy of children's birth Certificates

Formal Education Documents

- a. Certified true copy of Transcript of Records (TOR)
- b. Certified true copy of Diploma (with S.O. number)
- c. Honors/Awards/Distinctions

Professional Documents

- a. Copy of Professional License
- b. Proof of Publications and Research
- c. Seminar/Training Certificates
- d. Professional Affiliations/Memberships
- e. Community Service Awards/Certificates

Personnel Requirements

- a. Certification of employment from previous Employer/s
- b. Certificate of Clearance from Previous Employer
- c. BIR Form 2316 from previous employer
- d. NBI Clearance with 6-month recency
- e. Medical Certificate (Fit to Work)

Government Records

- a. SSS (photocopy of IDs)
- b. TIN (photocopy of IDs)
- c. Pag-IBIG (photocopy of IDs)
- d. PhilHealth numbers (photocopy of IDs)
- e. Income Tax Return (ITR) (and Form 2305 if necessary)
- f. Residence Certificate

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ANNEX D: REVISED STANDARD PERFORMANCE EVALUATION (SPES) FOR FACULTY

I. OBJECTIVES

This policy has the following objectives:

- A. Evaluate faculty performance based on the faculty's teaching, research, and community engagement responsibilities.
- B. Motivate the faculty to perform to their full potential.
- C. Provide the basis for annual merit, renewal of term appointment, appointment to probationary or permanent status, promotion in rank, and faculty development.

II. SCOPE

The SPES for Faculty comprises Teaching Effectiveness, Research and Innovation, Community Engagement, and Professional Development. It applies to all faculty members with term and regular appointments, part-time (PT) and full-time (FT). For SPES purposes, adjunct faculty will be evaluated similarly to part-time faculty. The use of the term "college" in this document refers to the colleges in NU Main and the schools in NU campuses.

III. GENERAL GUIDELINES

- A. Each component of the SPES has an allocated maximum point. Any point in excess from each component is not transferable to other components. Similarly, each sub-component has a maximum point allocation, and any point in excess is not transferable to other sub-components.
- B. The minimum SPES rating of a faculty must be equal to or better than the institutional Key Performance Indicator (KPI) for the Faculty SPES rating for the academic year. SPES rating falling below the KPI may be a ground for non-renewal of contract in the case of part-time, contractual full-time, and probationary full-time faculty or further performance review for regular faculty.
- C. For faculty with term appointments, the Teaching Effectiveness rating, particularly the Online Teachers Evaluation (OTE), may be a basis for the non-renewal of the contract in the succeeding term.
- D. Details of the activities, accomplishments, engagements, etc., must be listed per component. Supporting documents must be available for verification upon request.
- E. Only activities or undertakings accomplished within the evaluation period must be reflected in the SPES unless indicated. Any activity or accomplishment should only be reflected or credited in one component.
- F. Submission of the College SPES Summary to the Human Resource Office (HRO) is as follows:
 - 15 days after the end of the term for PT faculty
 - 30 days after the end of the Academic Year (AY) for FT faculty

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IV. FREQUENCY

- A. The SPES for full-time faculty, whether probationary, contractual, or regular, will be required once at the end of every academic year.
- B. The SPES for part-time faculty will be required at the end of every term.

V. RATING REFERENCE

- A. The rating reference for the Faculty SPES is consistent with the instruments used by the University in evaluating the performance of its personnel.
- B. Unless otherwise reflected in the Institutional Quality Objectives, a faculty must receive a descriptive rating of at least “Meets Expectation.”
- C. The rating reference is as shown below:

Range		Description
From	To	
6.51	7.00	Truly Exceptional
6.00	6.50	Excellent
5.00	5.99	Exceeds Expectations
4.00	4.99	Meets Expectation
3.00	3.99	Fairly Satisfactory
2.00	2.99	Unsatisfactory
1.00	1.99	Very Unsatisfactory

VI. SPES COMPONENTS

The SPES is composed of four (4) areas upon which the performance of the faculty will be evaluated:

- Teaching Effectiveness
- Research and Innovation
- Community Engagement
- Professional Development

All full-time faculty will be evaluated on the four (4) components. The part-time faculty considering the nature of their engagement with the University, will only be assessed on Teaching Effectiveness.

A. *Weight Distribution*

The weight distribution of each SPES component is as shown below per campus type.

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- **For Full-Time Faculty**

COMPONENT	Year 1 Campus	All Other Campuses
Teaching Effectiveness	55%	50%
Research and Innovation	15%	25%
Community Engagement	15%	10%
Professional Development	15%	15%
Total	100%	100%

- **For Part-Time Faculty**

Teaching Effectiveness has two sub-components: Online Teachers Evaluation (OTE) and Classroom Observation (CO).

COMPONENT	All Campuses
Teaching Effectiveness	
b. Classroom Observation	40%
c. Online Teachers Evaluation (OTE)	60%
Total	100%

B. Teaching Effectiveness

1. Teaching effectiveness has the following sub-components:

a. Classroom Observation (CO)

- The Dean and/or the Program Chair must conduct classroom observation using the CO Form at least once per term.
- In the event of multiple observations in a term, the average rating per item will be the one recorded.
- The maximum score for CO is 7.

b. Online Teachers Evaluation (OTE)

- Students evaluate the faculty during the midterm and the final period. Only the final OTE should be reflected in the SPES. The midterm OTE will be an initial assessment and serve as a basis for corrective action or improvement.
- The average final OTE rating of the faculty is available for download in NUIS. Access to the OTE module is restricted to college administrators and competent authorities.
- The maximum score for the OTE is 7.

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2. Weight Distribution for Full-Time Faculty

COMPONENT	Year 1 Campus	All Other Campuses
Teaching Effectiveness		
a. Classroom Observation	15%	15%
b. Online Teachers Evaluation (OTE)	40%	35%
Total	55%	50%

C. Research and Innovation

1. A faculty's maximum score in Research and Innovation is 30 points. Points are cumulative up to the maximum score and can be accumulated from the different categories, each with a corresponding point allocation as shown:

CATEGORY	Points Allocation
Publication: Journal Articles	
• Levels 1 to 4	30
• Levels 5 to 7	18
• Level 8	5
Publication: Conference Proceedings	
• Level 1	30
• Levels 2 to 4	18
Publication: Book Chapters and International Handbook and Encyclopedia	
• Level 1	30
• Levels 2 to 3	18
• Level 4	5
Externally Funded Research/Innovation/Resiliency Project	
• Upon Approval	10
• Upon Completion	8
Completed Internally Funded Research/Innovation/Resiliency Project	5
Issued/Approved Patent, Trade Secret, Utility Model, Industrial Design by	30
Launched a Start-up	30
Passed the Intellectual Property (IP) Audit	15
Copyrighted Property	5
Creative Output (Literary and Artistic Innovation) Published, Presented, or Exhibited	
• International	10
• National	5
• Local	3
Award or Recognition for a Creative Output by Prestigious International or National Award-Giving Bodies	30
Research Awards/Recognition	

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CATEGORY	Points Allocation
• International	7
• National	5
• Local	3
• Internal	1
Other Completed Research, Innovation Projects, Creative Works	5
Citation (Per citation excluding self-citation capped at 18 points)	1
Other Categories (Capped at 18 points)	
• Attendance to Research/Innovation Seminars, Webinars, Conferences, and Similar Activities	
▪ External	2
▪ Internal	1
• Research/Innovation Presentation	
▪ International	3
▪ Local	1
• Research/Innovation Speakership (plenary, forum, panelist, reactor, discussant, and similar roles) in conferences, colloquia, and forums.	
▪ International	4
▪ Local	2
• Research/Innovation Organization Membership	2
• External Research Panelist/Reactor (per invitation)	2
• Technical Reviewer	
▪ International	4
▪ Local	2

2. Publication levels, as stated in the Research Incentives (RI) Policy issued by the Research and Development Office, are defined as follows.

- Journal Articles

Level	Descriptor
1	99 th percentile or top 1%
2	90 th percentile of top 10%
3	Q1 SCI/SSCI/AHCI
4	Q2 to Q4 SCI/SSCI/AHCI or Q1 Scopus
5	Q2 Scopus
6	Q3 Scopus
7	Q4 Scopus or Unranked Scopus publication
8	Non-Scopus articles or NU Journal

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- Conference Proceedings

Level	Descriptor
1	Q1 Proceedings (concurrently Scopus-indexed) or A* conferences based on CORE
2	Q2 Proceedings (concurrently Scopus-indexed) or A conferences based on CORE
3	Q3 Proceedings (concurrently Scopus-indexed) or B conferences based on CORE
4	Q4 Proceedings (concurrently Scopus-indexed) or C conferences based on CORE Unranked Scopus-indexed proceedings

- Book Chapters and International Handbook and Encyclopedia

Level	Descriptor
1	Chapter in International Handbooks or Encyclopedia / Published scholarly book (Scopus)
2	Chapter in International Handbooks or Encyclopedia / Published scholarly book (Non-Scopus)
3	Scopus-indexed book chapters
4	Non-Scopus-indexed chapters

- Acronyms

Acronym	Definition
AHCI	Arts and Humanities Citation Index
CORE	Computing Research and Education (Association of Australasia)
SCI	Science Citation Index
SSCI	Social Sciences Citation Index

3. Definition of Terms:

- Innovation** refers to the creation of new ideas that result in the development of new or improved products, processes, business models, or services, which are then spread, transferred, or commercialized, which creates social, economic, or environmental impact.
- Creative output** includes literary, visual artwork, design, architectural work, software, and other manifestation of creative effort published, acknowledged, presented, copyrighted, or registered.
- Patent** – Any technical solution of a (technical) problem in any field of human activity which is *new, involves an inventive step, and is industrially applicable* shall be patentable. It may be or may relate to, a product, process, or an improvement of any of the foregoing. (Sec. 7, R.A. No.165a and Chap. 2, Section 21, R.A. 8293).

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- d. **Utility Model** – An invention qualifies for registration as a utility model if it is new and industrially applicable (Sec. 109.1, R.A. No. 8293).
- e. **Industrial Design** – Any composition of lines or colors or any three-dimensional form, whether associated with lines or colors; provided, that such composition or form gives a special appearance to and can serve as pattern for an industrial product or handicraft (Sec. 55, R.A. No. 165a).
- f. **Trade Secret** – Undisclosed information or Trade Secret shall be any form or type of financial, business, scientific, technical, economic or engineering information, including the whole or any portion or phase of any process, procedure, formula, improvement, pattern, plan, design, prototype, code, compilation, program, method, technique, or listing of names, addresses or telephone numbers, whether tangible or intangible, stored, compiled, or memorialized physically, electronically, graphically, photographically, or in writing (Chapter 2, Article 3, WTO, TRIPS Agreement).
- g. **Startup** – any person or entity registered in the Philippines which aims to develop an innovative product, process, or business model (Rule 2, Section 1, R.A. 11337).
- h. **Copyright** are original literary and artistic works such as Books & other writings; periodicals; Lectures, addresses; letters; Dramatic-musical compositions; Musical compositions; Drawing, painting, architecture, sculpture; Ornamental designs, applied art; Illustrations, maps; drawings; plastic works; Photographs; Audiovisual works; Illustrations and advertisements; Computer programs; and Other literary, scholarly, scientific, artistic works (Part 4, Sec. 172.1, R.A. 8293).

- 4. Activities falling under Citation and Other Categories are capped at 18 points each.
- 5. Citation refers only to Scopus citations received by the faculty in the immediately preceding year before the SPES preparation, e.g., for AY2022-2023 SPES, the citation score will be based on the citations received in 2022. The Research and Development Office will officially provide the citation score.
- 6. Research awards exclude research grants awarded by funding agencies.
- 7. ***Except for citation, coverage of publications, accomplishments, engagements, or activities in any of the above categories will be within the evaluation period, i.e., one academic year.***
- 8. The proper authority must vet all entries reflected in the SPES Form.

D. Community Engagement

- 1. Only voluntary and unpaid service will be credited under Community Engagement.
- 2. This component is categorized as follows:

a. Community Extension (COMEX):

Any community engagement that targets external partners/entities and is certified by the COMEX Office. COMEX may be:

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- 1) *Institutional* – Any engagement initiated by the COMEX Office in partnership with NU units or external partners.
- 2) *College-Driven* – Any engagement initiated by the College based on program competencies.
- 3) *Extension Services* – Any outreach engagement initiated by any NU Unit.

b. Capacity-Building Services (CBS)

This refers to the involvement of a faculty in NU-wide committees or projects, participation in college projects, and all initiatives for the benefit of the community.

3. The number of engagement hours rendered will have equivalent points depending on the category, as shown in the table:

Number of Engagement Hours		EQUIVALENT POINTS			
		Community Extension			Capacity-Building Services
From	To	Extension Services	College-Driven	Institutional	
7	16.99	1.5	3.5	3.5	2
17	48.99	3	7	7	4
49	64.99	4.5	10.5	10.5	6
65	77.99	6	14	14	8
78	Above	7.5	18	18	10

4. COMEX Guidelines

- a. The maximum score a faculty can obtain under Community Engagement is 18. A faculty should render at least seven (7) engagement hours before points can be assigned.
- b. The COMEX equivalent points per category are cumulative up to 18 points. Excess points are not transferrable to Capacity-Building Services.
- c. The COMEX Office will determine the equivalent number of hours for a COMEX activity.
- d. The rendered hours of a faculty in each COMEX category will be based on the official report of the COMEX Office.

5. Capacity-Building Services Guidelines

- a. The college will record capacity-building services through the College COMEX Coordinator.
- b. The maximum score for CBS is 10 points which will be used as bonus points.
- c. Approval of activities converted to CBS hours will rest on the college dean in consultation with the college COMEX Coordinator and program chairs.
- d. Only activities outside a faculty's regular administrative assignment/tasks qualify for conversion.

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e. Engagements that may be converted include the following:

- Committee Lead
- Committee Member
- Speaker/Trainer/Lecturer
- Reviewer
- Facilitator
- Technical Support/Assistant

E. Professional Development

1. The maximum score a faculty can obtain under Professional Development is 15 points.
2. Professional Development has the following sub-components. Each sub-component is allocated a maximum number of points.

a. Seminar Participation (Maximum of 10 Points)

- 1) Seminars include attendance at training, workshops, and similar activities. Those that are research-related are excluded and will be considered under the Research component.
- 2) The total points awarded for each seminar will be based on the duration of the activity (in hours) multiplied by the assigned multiplier per category.

Category	Multiplier
Speaker	3
Organizer	2
Panelist	2
Continuing Professional Development (CPD) Program Monitor	2
Earned CPD	1
Participant	1

b. Formal Studies (Maximum of 5 Points)

Points under Formal Studies will only be awarded if the degree is completed within the evaluation period.

Category	Points
Doctoral	5
Masters	3
2 nd Undergraduate Degree	2
Certificate Program	2
Diploma	2

c. Industry Involvement (Maximum of 5 Points)

- 1) The engagement of a faculty under any of the categories must be supported with the appropriate documentation.

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- 2) Microsoft certification, including being named a Microsoft Innovative Education Expert (MIEE), can be credited under Professional Certification.

Category	Points
Consultancy	5
Immersion	5
Fellowship	5
Faculty Exchange	5
Professional Certification	5
National Government Appointment	5

d. Recognition and Awards (Maximum of 5 Points)

Category	Points
International	5
National	3
Institutional	2

e. Professional Organization (Maximum of 5 Points)

- 1) The faculty should be a member of the professional organization within the evaluation period.
- 2) Advanced Member refers to all other membership types that undergo screening.

Category	Points
Officer	5
Committee Member	3
Advanced Member	3
Regular Member	1

VII. FORMS

- A. SPES Form
- B. SPES College Summary
- C. Classroom Observation

VIII. EFFECTIVITY

This Revised SPES for Faculty is effective Academic Year 2023-2024.

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ANNEX E: REVISED STANDARD PERFORMANCE EVALUATION (SPES) FOR ASP

Job Rank	Corresponding SPES
Job Rank 101 to 203	<u>Click here to download the SPES Form</u>
Job Rank 301 and up	<u>Click here to download the SPES Form</u>

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