



**TAN TAO UNIVERSITY**  
FROM KNOWLEDGE TO THE STARS

# **THE FACULTY HANDBOOK**

## **Introduction**

The Faculty Handbook for Tan Tao University (TTU) is a working statement of the policies and procedures that every member of the faculty (henceforth generally referred to as instructor) is expected to follow at Tan Tao University.

TTU is committed to higher education following the top universities in USA. Employing Rice University's Handbook, TTU's Handbook has been built in compliance with Vietnam Higher Education Law No 08/2012/QH on June 18, 2012 by the National Assembly.

The University seeks the input of all members of the University team to evolve our policies and procedures as the university develops and grows.

The provisions of this Handbook apply only to full time faculty members who have an academic appointment at TTU.

In Vietnam, the ultimate source of authority governing these matters is the Ministry of Education and Training (MOET) of the Government of Vietnam. MOET regulations may take precedence over any internal university decisions. We expect to work cooperatively with MOET to evolve a model in Vietnam for private non-profit universities of high quality.

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## **I- THE UNIVERSITY – MISSION STATEMENT AND GUIDING PRINCIPLES**

### **1.1 Vision**

Tan Tao University aspires to become a globally distinguished educational institution providing excellence in education, participating in the advancement of knowledge through research, and serving the peoples of Vietnam, Southeast Asia, and the world.

### **1.2 Goals**

Tan Tao University faculty, students, and staff working together to achieve following goals:

1. Build TTU to become a research university;
2. To become an accredited university recognized by Council for Higher Education Accreditation of the United States of America;
3. To cultivate talents for the labor forces that is elite seeds to develop the country and serve the people.

### **1.3 Mission**

With an educational philosophy, standards, and practices based on the American liberal arts model of higher education, Tan Tao University encourages freedom of thought and expression and seeks to foster tolerance and respect for diversity and dialogue. It aspires to produce individuals committed to creative and critical thinking, life-long learning, personal integrity and civic responsibility, and leadership.

### **1.4 Guiding Principles**

In order to fulfill its mission, Tan Tao University has adopted the following principles:

- Establish a university campus, university facilities, and a university instructor equal to those found in top-ranked US institutions, including accreditation by one of the eight college and university accreditation agencies recognized by the Council for Higher Education Accreditation of the United States of America.
- Dedicate to both top quality research and excellence in teaching.
- Conform to all laws and regulations established by appropriate entities of the government of Vietnam.

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- Establish a “need-blind” admissions policy, seeking to admit the very best students regardless of their socio-economic circumstances.
- Seek to provide financial assistance to all admitted students up to the level of their demonstrated financial need.
- Strive to be recognized as a model for access to higher education in the region and the world, Tan Tao University will pursue a vigorous policy of connections with other outstanding global universities.



## II- UNIVERSITY ORGANIZATION

### 2.1 Operating Authority:

In 2009, the University's CEO signed 2 memorandums of understanding (MOU) between TTU with Rice University and Duke University.

On March 15, 2011, TTU signed a Memorandum of Agreement with the University of Illinois at Chicago (UIC) to collaborate for exchanging faculty and training students, coordinating in research, curricula and learning documents and coordinating in community activities.

Tan Tao University was granted its license to operate as a private non-profit university by decree number 2154/QD-TTg signed by Vice-Prime Minister Nguyen Thien Nhan on 25 November 2010. Tan Tao University is a Vietnamese non-profit private University subject to the laws and regulations of Vietnam regarding institutions of higher education.

Since the school year of 2011-2012, Tan Tao University has been granted permission to open for enrollment 5 schools. They are:

1. School of Business and Economics:
  - Accounting
  - Finance
  - Management
  - International Business
2. School of Engineering:
  - Civil Engineering
  - Electrical Engineering
  - Computer Science
3. School of Humanities and Languages:
  - English
4. School of Medicine:
  - Doctor of Medicine
5. School of Bio-Technology:
  - Bio-Technology
  - Applied Biology

In the future, based on the need of the personnel force for the country, Tan Tao University will open more programs:

- School of Dental Medicine
- Commercial Law (in School of Business and Economics)
- Precision Mechanics and Automation (in School of Engineering)
- And some others: School of Media and Press; Pharmaceutical; Architecture; ...

## **2.2 President and Board of Trustees**

### **2.2.1 The President/CEO:**

The President of the Board of Trustees is Mme. Dang Thi Hoang Yen. Mme. Yen is the Founder and key sponsor of Tan Tao University and the source of its vision. Mm. Yen is also Chairwoman of the Tan Tao Group – parent company of Tan Tao University.

Mme. Yen Dang is successful in international business and in Vietnam as well. She holds many important positions including Member of ESCAP Business Advisory Council; Member of ASEAN Business Advisory Council; Member of World Economic Forum’s Global Agenda Council on South-East Asia.

### **2.2.2 The Board of Advisors**

Tan Tao University is honor to receive great contribution made by all members of the Board of Advisors since the very first days of Tan Tao University.

1. Ms. Dang Thi Hoang Yen, President/CEO of Tan Tao University, The Chair of the Vietnam-US Business Forum, Co-chair of the ASEAN Summit, Member of the ASEAN Business Advisory Council
2. Prof. Malcolm Gillis, President of Rice University 1993-2004 and currently University Professor and Zingler Professor of Economics at Rice, now serving as Chair of the Board of Advisors.
3. Dr. Charles Henry, President, Council on Library and Information Resources.
4. Prof. John Vaughn, American Association of Universities
5. Prof. Eugene Levy, Provost, Rice University 2000-2010 and currently Buchanan Professor of Astrophysics at Rice.
6. Mr. Michael W. Michalak, Former United States Ambassador to Vietnam
7. Prof. Peter Lang, Provost of Duke University since 1999

8. Dr. Ray M. Bowen, Chairman of the National Science Board, President Emeritus, Texas A&M University.
9. Prof. Vo-Tong Xuan, eminent Vietnamese agricultural scientist; Rector, An Giang University 1999-2009, Provost of Tan Tao University 2011 – 2013.
10. Prof. Dr. Tam Bui, Ph.D. in Biochemistry, California University, currently Dean of School of Medicine.
11. Prof. Thach Nguyen, Chief of Cardiology at St. Mary Medical Center, Hobart Indiana.

### **2.3 University Officers and Organization**

Based on American model of higher education, base on criteria of an US Accreditation Agent, and based on Vietnam’s Law on higher Education and other Regulations from the Government, Tan Tao University is organized as follow:

1. The President
2. Vice President
3. Provost
4. University Committees
5. Deans of Schools
6. Non – Academic Departments
7. Faculty
8. Students

#### **2.3.1 The President: Mme. Dang Thi Hoang Yen**

See details of the Organization, Functions, Rights and Powers, Responsibilities of the President/CEO in the *Charter*.

#### **2.3.2 The Vice President of Development: Mr. Dang Thanh Tam**

The Vice President for Development is responsible for seeking private support from alumni, individual, corporations, foundations and other university partners to further the academic and research goals of Tan Tao University.

The Vice President for Development therefore is responsible for the planning, development and implementation of the Tan Tao University’s fundraising process,

including identifying potential donors; cultivation of the identified prospect; solicitation of actual gifts; stewarding the donors; and fundraising accounting.

### **2.3.3 The Provost**

The Provost reports to the President of the Board of Trustees and is responsible for:

- Manage all activities within the university to accomplish the goals set by the Board of Trustees;
- Perform other functions and duties prescribed by Vietnamese current laws;
- Organization, Personnel and development policies on human resources management inherited;
- International cooperation on teaching and doing research. The provost will submit all documents on international cooperation to the President of the Board of Trustees for final approval;
- Budget for the whole university including attracting donations from sponsors, individual or organizations, governmental or non-governmental inside and outside the country;
- Submit the annual budget for TTU activities in details to the Board of Trustees

### **2.3.4 University Committees:**

- Faculty Senate
- Academics Committee
- Research and Science & Technology Committee
- Audit Committee Executive Committee
- Financial and Investment Committee
- Infrastructure Committee Trusteeship Committee
- Faculty Fellowship and Awards Committee
- Staff Fellowship Committee
- Student Fellowship Committee
- Faculty Recruitment Committee
- Staff Recruitment Committee
- Admission Interview Committee

### **2.3.5 Deans of Schools:**

- The Dean of each School, reporting to the Provost, is responsible for the activities, quality, and development of the School and of its professors;

- The Dean of the School is the directly responsible authority for all matters concerning teaching, consulting, and research. The Dean will consult the department heads and the faculty of the School as appropriate concerning teaching duties, curriculum, academic standards, research expectations, and other academic matters;
- The Dean manages the budget of each school, within university financial management guidelines. The Board of Trustees and the Provost determines the budget allocation for each School;
- The Dean, in consultation with the department heads and the faculty, will propose to the Provost as part of the annual budget process needs for new faculty positions and for new facilities and other needs;
- The Dean will manage the hiring of new faculty according to university guidelines and policies;
- The Dean is responsible for personnel matters within the School and for conducting annual evaluation for all faculty members, according to a standard and objective procedure (see section VIII below);
- The Dean may not modify the terms of any contract or change conditions of employment for any person or for the School as a whole. This can be done only by the Board of Trustees.
- Build up and develop internal and external relationship within the school, with other schools of the University and other University in the country and all over the world;
- Execute other functions assigned by the Provost.

### **2.3.6 Non-academic departments:**

**2.3.6.1 Accounting: Chief Accountant** is responsible to the Board of Trustees, the Provost and the Vietnamese legal system with respect to:

- Develop and implement university accounting procedures;
- Work with both internal and external auditors during financial and operational audits;
- Work closely with Executive Board and Deans of schools on annual budgets to submit to the Board of Trustees for approval;
- Ensure compliance with Vietnamese national and university policies, regulations and laws.

- Prepare financial reports as required by the Management Board;
- Prepare statutory accounts and consolidated financial statement to the relevant authority;
- Perform other duties assigned by the Board of Trustees and Provost

#### **2.3.6.2 Student Affairs:**

**Manager of Student Affairs** manages all aspects of student life and activities. Manager of Student Affairs' areas of responsibilities include:

- Build up a TTU culture and style for all TTU students: Always put forth the best effort to improve themselves; have their own dreams and try to make their dreams become true; learn how to live in a good manner and live for the community;
- Organize and implement student activities on learning and practicing; music and sports; community activities; participate in regional, national and international programs;
- Support students to participate in career orientation activities; out-of-class activities; study visits; etc.;
- Seek external funding, sponsors, and donations for student activities;
- Submit annual budget for student affairs to the Board of Trustees;
- Perform other duties assigned by the Provost.

**2.3.6.3. Data center: Chief Information Officer (CIO)** oversees the installation and functioning of the university's IT system and its usefulness and availability to students, faculty, and staff.

#### **2.3.6.4. Administration and Human Resources Department**

**Manager of Administration and Human Resources (MAHR)** is responsible for all admin and HR activities in Tan Tao University.

- **Deputy Manager of HR:** is responsible to:
  - Human Resources Management policy for TTU;
  - Perform all activities related to recruitment, salary, contract, and other relevant matters in compliance with current Vietnamese laws and TTU policy and procedure;

- Report to the Board of Trustees and the Executive Board (called Management Board in general) all the changes about Education and Training from the government;
  - Advise the Board of Trustees and the Provost the advanced policy and measures which are consistent with the criteria of the US Accreditation Agents to bring TTU to become the first Vietnamese university to be recognized by the Council for Higher Education Accreditation of the United States of America by 2017 the latest;
  - Perform other functions related to HR management assigned by the Board of Trustees and the Provost.
- **Deputy Manager of Admin:** is responsible to:
    - Incoming and outgoing administrative documents;
    - Organizing and managing all facilities, equipment and infrastructure of TTU;
    - Building, strengthening and implementing all admin procedures and policy at TTU;
    - Organizing and welcoming all guests visiting TTU;
    - Perform other duties assigned by the Board of Trustees and the Provost.
  - **Deputy Manager of Infrastructure and Facility** is responsible to:
    - Manage all facilities and equipment within the university including teaching facilities, transportations, assets, infrastructures of TTU and make sure they are all in good conditions;
    - Together with the accounting department to inventory all assets periodically;
    - Manage the dormitory in compliance with Dormitory policy and make sure it in good conditions for students;
    - Build up the policy to manage all facilities and equipment at TTU and submit to the Provost for approval;
    - Maintain the entire university campus, including the student dormitory in clean and organized conditions;

#### 2.3.6.5 TTU Library:

- **Director of the TTU Library:** The Director of the Library is responsible for supervision and training of library staff, acquisitions, access to research

materials online and in print to meet the needs of faculty and students, and education for faculty and students in the use of the Library including electronic access and resources.

- **Librarian of the Admin Library:** is responsible to:
  - Establish and implement library and information policies and procedures;
  - Manage all materials at Admin library including books, periodicals, articles, and audiovisual materials on particular subjects in good conditions.
  - Train library users to effectively access on-line and printed materials;
  - Work with Admin and Accounting departments to maintain inventories, compile statistics quarterly and annually;
  - Based on the recommendations from each school to build up a general budget to make sure the library have enough books to serve all faculty and students;
  - To follow copyrights and reserve policies for all books and other materials at TTU Library;

#### 2.3.6.6 Research Centers:

- i. **The Center for Applied Research:**
- ii. **The Center for Languages Training** will assist in the training of English teachers and the upgrading of language instruction in Long An Province.
- iii. **The Center for Climate Change and Economic Development** will study the effects of climate change on the economic activity of the Mekong Delta region and the livelihood of its citizens.
- iv. **The high quality and hi-tech Agriculture Application Research Center** will undertake research studies and projects concerning agricultural development in Long An Province and the Mekong Delta region.
- v. **Other Centers** will be established as appropriate. Deans and Faculty members are invited to exercise initiative in proposals and planning.



### **III- CONTRACTS, APPOINTMENTS, AND CONDITIONS OF EMPLOYMENT**

#### **3.1 Probation Period**

- 3.1.1.** Based on the Vietnamese Labor Law, all new faculty candidates will sign a probation agreement with TTU before starting full time employment. The probation time is 02 months. During this time, the faculty member gets 80% of the full regular salary as stated in the contract.
- 3.1.2.** After 02 months of probation, if the faculty candidate meets all requirements from TTU, the both sides will sign an official contract.
- 3.1.3.** 07 days before the probation period finishes, the Dean/department head or line manager will submit the Evaluation form of the probation time to Human Resources Department and propose to sign an official contract with that faculty candidate. If no Evaluation form sent to the Human Resources when the probation time finishes, the Human Resources Department will not prepare contract for that instructor. In this case, the Dean/department head will be responsible for any issue that arises.

#### **3.2 Duration of Employment & Tenure**

- 3.2.1.** Initial contracts are for three years, dated from July 1 of the first academic year of employment. During the first three-year contract, continuation beyond the first year is subject to a satisfactory performance during the first year in teaching and research.
- 3.2.2.** Detail of Contract renewal will be found in Chapter VIII of this Handbook;
- 3.2.3.** Tan Tao University does not award tenure.

#### **3.3 Licenses for Faculty**

- 3.3.1.** Work permit, Residence card/Visa (applicable for faculty members who do not hold a Vietnamese passport):
- Tan Tao University covers the cost for a work permit. Faculty members are responsible for providing all necessary documents for the Human Resources department within 01 month since he/she first arrives at TTU. The faculty member must pay out of pocket for residence card/visa cost. The Human Resources department will support with regulations guidance if needed;

- Work permit and residence card will be sent within 24 hours to the Human Resources Department as soon as the faculty member finishes his/her contract with TTU. The Human Resources department then returns to the Department of Immigration of Long An with the notice that the licenses are no longer in use. The instructor will then be responsible to the Vietnamese law for his/her immigration status.

3.3.2. Teaching Certificate (For faculty members who are Vietnamese nationals)

- As required by MOET, all faculty members who have not graduated from Pedagogical University must have teaching certificate to be able to teach at universities;
- The faculty member is responsible to provide teaching certificate within 03 months starting faculty's first working day at TTU.

**3.4 Faculty Rank**

3.4.1. Tan Tao University follows the system of faculty ranks prescribed in Vietnam. Professors who come with rank awarded elsewhere may keep that rank in Vietnam;

**3.4.2. Teaching Ranks:**

3.4.2.1 In Vietnam, according to MOET, professors have the rank of Teaching Assistant, Lecturer, Senior Lecturer, Associate Professor, or Professor. Universities may award the rank of Teaching Assistant, Lecturer. Titles of Senior Lecturer, Associate Professor and Professor are awarded by a national board responsible for academic standards;

3.4.2.2 Normally, at TTU, an instructor with a doctorate and two years or more of teaching and research experience will be appointed as Senior Lecturer. Instructor with a Masters degree and significant lengthy successful teaching and research and professional experience may also be Senior Lecturer. New Ph.D.'s and those with a Masters degree will normally have the rank of Teaching Assistant or Lecturer based on the recommendation from the Dean of the School with approval from Provost;

3.4.2.3 Promotion in rank within TTU, from Teaching Assistant to Lecturer, will be made by the Provost on the recommendation of the Dean of the School;

3.4.2.4 Criteria for faculty of TTU to submit proposal for the rank of Senior Lecturer, Associate Professor or Professor to the national board:

- meet all criteria needed by the regulation of the national board for academic standards;
- have excellent teaching and research evaluation;
- have long-term commitment to TTU;
- have high quality papers in prestigious publications worldwide;
- attain prestigious awards.

**3.4.2.5** Members of the faculty with credentials sufficient for serious consideration as Senior Lecturer, Associate Professor or Professor will apply to the national board. In this case, the application must be approved by the Provost. TTU will make every effort to ensure that faculty receives the consideration and rank that they deserve.

### **Other teaching ranks**

Part-time Appointments, Visiting Appointments and Adjunct Appointments. These appointments are extended to the faculty members from other institutions whose scholarly or professional activities enrich and complement TTU programs and interests. Term of the appointment must be specified in the provost's official offer letter. Part-time, Adjunct and Visiting carry no voting rights at faculty meetings.

### **2.4.3 Research Ranks**

Tan Tao University provides research ranks of Research Fellow, Senior Faculty Fellow, and Distinguished Faculty Fellow.

Research faculty are supported entirely from the external research funds. They carry no classroom teaching commitment.

The research faculty appointments are made for a specific period of time, usually no less than three nor more than five years. Renewals of appointments are contingent upon satisfactory performance as determined by the members of the center, institute, laboratory, or department as appropriate. A faculty fellow must be considered for promotion to senior faculty fellow before the end of the sixth year in rank. An unfavorable review is followed by a one year terminal appointment. However, all renewals and continuing service are contingent upon availability of the external research funds.

## **DUTIES**

A. Research. The principal duty of a research faculty member is to conduct research related to the academic program of the department, center, institute, or laboratory in which the appointment is made. The research program may involve students, research associates, other faculty, and staff in addition to the personal efforts of the research faculty member, and may be conducted either on or off campus, as dictated by the nature of the research.

B. Research Funds. Individual research faculty members are responsible for securing external funding to support their research program. Research faculty of all ranks may serve as principal investigators on research funding proposals, which are subject to the usual review and approval by the appropriate center or institute or laboratory director, department head and University administration.

C. Supervision of Student Research. Research faculty may direct theses and/or chair committees, as appropriate, for undergraduate and graduate research projects subject to the usual department approval; they may also serve on thesis committees for other advanced degree candidates in accordance with University policy on graduate studies.

D. Teaching. Although classroom teaching is not required of research faculty, from time to time a research faculty member may teach a course at the graduate or undergraduate level. In such cases, a temporary appointment as lecturer must be made in addition to the research faculty appointment. University compensation for such teaching duties will be arranged on a case-by-case basis.

E. University Service. While research faculty are not required to serve on University standing committees, they are eligible to serve in such positions subject to any constraints placed by the funding agencies. Research faculty are not eligible to serve on the University Council. They are, however, entitled to attend department and University faculty meetings and to vote on matters arising therein except those pertaining to exclusively undergraduate curriculum and affairs.

### **3.5 Salary**

#### **3.5.1 Salary**

- Salary is paid monthly, on the first business day of the following month. If the first day of the month is on Saturday or Sunday, the payday will be the following Monday;
- Salary is paid in Vietnamese Dong (VND). It is deposited directly to the faculty member's bank account at Navibank Vietnam, which may be established at any bank. The amount paid will be the amount of the salary in US dollars, converted to VND at the then prevailing exchange rate at Vietcombank on the payday;
- From July 2012, to encourage the faculty to live nearby campus for convenience, TTU offers 50% rent payment for faculty members who stay at places appointed by TTU. TTU will not pay in cash but deducts from the rent of the faculty at the end of the month. Faculty members who do not stay at the appointed place will not get this offer, except the special case approved by the Board of Trustees;
- Vietnamese income tax will be deducted from gross compensation. TTU will on behalf of the faculty pay tax to the taxation department;
- Each member of the faculty will receive each month a statement of gross compensation earned, tax and other deductions, and net pay by the 30th of each month and sent by the Deputy Manager of Human Resources.

### **3.5.2 Timesheet**

- Timesheet will be prepared by the Deans of the Schools/or department heads with the TTU timesheet format. The Deans/department head will send the timesheet with their signature to the Human Resources department on the 21st monthly.
- The timesheet must be transparent and truthful.

### **3.5.3 Allowance**

Other allowance will be made based on the different position the faculty may take and on the actual working time for the position. Allowance is paid with salary monthly.

## **3.6 Salary Adjustments**

- 3.6.1.** Salary will be reviewed each year by the Board of Trustees. Adjustments will be made starting July 1 of each year (the start of the university fiscal year).

**3.6.2.** Adjustments will depend on evaluation of the individual faculty member's performance in teaching, research, and university service. Adjustments may also depend on the financial condition of the university.

### **3.7 Social Insurance, Health Care and other Insurance**

**3.7.1.** Foreign faculty: TTU will provide health care insurance to all foreign faculty members according to Vietnamese law and health care beside the government system but not exceeding \$1,000/ a year. In case the insurance company refuses to fully cover because of the age limit, or preexisting illness, TTU will then reimburse \$1,000 (subtract the insurance cost paid according to Vietnamese law). The faculty member will therefore be responsible for their own health care.

**3.7.2.** For Vietnamese faculty, TTU will pay insurance based on the official contracts between the two parties and comply with Vietnamese laws. The insurance should include social insurance, health insurance and unemployment insurance.

### **3.8 Travel Expenses**

#### **3.8.1 Home country annual allowance**

Foreign faculty members who finish 12 month contract will be reimbursed for the actual cost of airfare, up to \$1,500, for one round trip each year from and to their country of origin. Reimbursement will be made upon presentation of receipts. This benefit may not be used for travel to other countries.

Fees for visas and other necessary documents are the responsibility of the faculty member.

#### **3.8.2 Business travel expenses**

See the Appendix A: *Internal Expenditure Policy*

### **3.9 Transportation**

**3.9.1.** From 01/01/2012 to 31/08/2012: Faculty who live in Ho Chi Minh City may use the university van, which leaves from a central location each morning around 6:30 AM and returns each afternoon leaving campus at 4:50 PM.

**3.9.2.** From 01/09/2012, TTU will not provide daily transportation for the faculty.

**3.9.3.** For those living on campus, transportation to Ho Chi Minh City is provided on the weekends. The bus will leave from Tan Duc Star at 9:00 AM in the morning and back from Ho Chi Minh City at 5:00 PM in the afternoon.

### 3.10 National Holidays

Official national holidays according to labor laws (10 days per year)

- New year : 1 day (January 1<sup>st</sup>)
- Lunar new year : 4 days (last day of the lunar year and first 3 days of the new lunar year)
- Hung King memorial : 1 day (March 10<sup>th</sup> of the lunar calendar)
- Unification day : 1 day (April 30<sup>th</sup>)
- Labor day : 1 day (May 1<sup>st</sup>)
- National day : 1 day (Sept. 2<sup>nd</sup>)
- Christmas : 1 day (Dec. 25<sup>th</sup>)

If one of the above-stated holidays coincides with a weekly non-working day, the employee is entitled to observe the holiday on the following day.

### 3.11 Summer Research and Leave Time

#### 3.11.1. Summer research and annual leave:

- All faculty members serve on a twelve month contract. Full time faculty accrue two days of paid leave per month (24 days a year), but may not take leave during the first six months.
- The faculty member shall book their annual leave for the following year no later than 31st of December. He/she needs to make sure their annual leave will not affect class schedule, the admission plan and opening of the new school year. Therefore, he/she is encouraged to take annual leave during summer time.
- Faculty members may not take leave in July each year (the admission time of university), except agreement from the Provost.
- The Human Resources department will send out the final leave schedule of all faculty members by end of January the latest with the approval from the Provost/Dean of school.
- During summer time, Faculty members may pursue research away from campus during the summer when classes are not in session. This requires a research proposal approved by the dean and a research report. In necessary situations, the faculty is required to be at the school if required by the Management Board. Authorized absences must be approved by the Provost.

- For those whose annual leave is booked, he/she should fill in the annual leave form to submit to the dean of school or department head at least 03 days before taking leave.
- For unexpected leave, he/she shall talk directly to the department head/dean to make sure the leave will not affect the class schedule.
- Faculty members may be asked to postpone their planned annual leave for special reasons when needed by the university.
- Un-used annual leave of no more than 05 days can be accumulated to the following year. The un-used annual leave last year will be invalid after 2 months of the new year. Annual leave cannot be converted into salary.

### **3.11.2. Personal leave**

**The faculty is entitled to paid leave for personal reasons in the following circumstances:**

1- Marriage (self): three days;

2- Marriage of his/her children: one day;

3- Death of a parent (including parent of the husband or the wife), death of spouse, death of a son or a daughter: 3 days.

- Sick leave: In case of sick leave, the faculty member shall submit an official certification from the hospital. On the first day of sick leave, the faculty himself or his/her sponsor shall call in-sick before 9:00 am. When coming back to work, the faculty shall fill in the sick leave form to send to HR department. Sick leave will be paid in compliance with Health Insurance policy (for Vietnamese faculty only). If no certification from the hospital is shown, the sick leave is deducted from the annual leave (if left) or counted as unpaid leave.
- All other sick leave or accident which lasts longer than 15 days shall be treated according to Vietnamese law.
- Faculty members who want to take leave for personal reasons shall fill in the form in advance based on the period of leave. This article does not apply for funeral circumstance, however a notice before 9:00 am should be sent to the department head/dean. If no form sent out to the HR department, the leave will be deducted from annual leave (if left) or counted as unpaid leave.



**Unpaid leave:**

- All other leave time which is not mentioned above is unpaid leave. The faculty member shall ask dean of the school/ department head for permission for leave at least 15 days in advance.
- In special case, the request for unpaid leave can be denied and taken in other time.
- Faculty members with fulltime contract must be present at TTU as required.

**3.11.3. Maternal leave:**

According to Vietnamese Labor Law;

**3.12 Resignation**

**3.12.1.** Faculty wishing to resign may do so given he/she satisfies the following conditions:

- Faculty shall finish all courses assigned in the academic year, except in cases of emergency, a faculty member may resign, with appropriate notice, at the end of any academic year. Compensation will end with the date of resignation. Except for the most serious emergency reasons, faculty may not leave their teaching and research obligations during the academic year.
- Appropriate notice means sufficient time to refill the position left vacant by the resignation, this means 45 days before the end of the academic year.

**3.12.2.** When an expat faculty member resigns before the contract ends, he/she shall repay all airfare cost to the university and give back all documents such as work permit and residence card within 24 hours since he/she gets the termination notice.

**3.12.3.** Faculty member who resigns and does not give enough notice time to the university will have to pay the amount of money equivalent to amount supposed to pay for the total working days of the notice time.

**3.13 Benefits for Spouses and Families:**

TTU welcomes the participation of faculty spouses and families in university life. It offers them library privileges, subsidized parking space, spousal seating at commencement, and membership in the Faculty Club. An eligible spouse or an eligible biological or adopted dependent child or step-child under twenty-five (of a

faculty member who is eligible for benefits) may apply for tuition remission upon admission or transfer as a full-time student pursuing a first undergraduate degree.

### **Definitions and Eligibility**

The following dependents may be eligible for this benefit:

- a. Spouses and registered domestic partners of TTU Employees and who are seeking their first undergraduate degree, and
- b. Eligible Dependent Children of a TTU Employee

For purposes of this policy, "Eligible Dependent Children" means those who meet each of the following four criteria:

- a. seeking their first undergraduate degree, and
- b. under age 25 at matriculation, and
- c. one of the following:
  - the unmarried biological child of the TTU Employee and for whom the TTU Employee is the legally designated parent;
  - the unmarried stepchild of the TTU Employee and who is the biological or adopted child of the TTU Employee's current spouse;
  - the unmarried legally adopted child of the TTU Employee and for whom the TTU Employee is the legally designated parent; or
  - the unmarried biological or adopted child of the TTU Employee's domestic partner (as currently registered under TTU procedures) and for whom the domestic partner is the legally designated parent, and
- d. a dependent of the TTU Employee at the time the benefit is awarded and for any previous three years during the child's life. A child is considered a dependent when at least one of the following statements is true:
  - the child is claimed as the TTU Employee's dependent at least every other year on his/her personal income tax returns, or
  - the TTU Employee's household provides more than 50% of the child's financial support, or

- the child lives primarily with the TTU Employee when he/she is not away at school.

The intent of these eligibility criteria is to provide tuition for children in close, long-term child/parent relationships with a TTU Employee. This policy does not attempt to extend the benefit to all possible child/guardian relationships. For example, grandchildren and other children for whom the TTU Employee is a guardian are not eligible.

Upon request, the TTU Employee must provide TTU with proof of relationship, dependency, and/or residency, which may include providing IRS forms, high school enrollment forms or other proof of residency, and birth or marriage certificates.

### **Commencement of Eligibility**

Eligibility begins the first semester following the faculty or staff member's completion of three continuous years of employment in a benefits eligible position at Tan Tao University. The three years of continuous benefits eligible service must be completed by the first day of classes to permit use of the benefit in that semester. Spouses, registered domestic partners, and children continue to be eligible as long as their spouse or parent is employed in a benefits-eligible status at the beginning of each semester and all other eligibility criteria continue to be met.

### **Termination of Service or Eligibility**

Should employment cease (or eligibility for this benefit otherwise cease) during an academic year, the benefit will continue through the end of the semester in which employment or benefits eligibility ceases, and will end immediately thereafter. Dependent children who marry as undergraduates lose eligibility for tuition remission beginning with the semester after the date of their marriage. If a divorce or revocation of domestic partner registration causes a student to lose eligibility, the student loses eligibility for tuition remission beginning with the first semester after the date of the divorce or revocation of domestic partner registration.

### **Use of the Benefit at TTU**

Eligible dependents must be accepted to TTU through the standard admission process. The student must competitively meet the University's requirements for admission and pay applicable application fees.

Eligibility is reviewed semester-by-semester, and the Application for Dependent Tuition Remission must be submitted annually for approval and review to determine whether the benefit is taxable. Typically, students will not be awarded tuition remission after the beginning of a semester nor will tuition remission be withdrawn before the end of a semester.

Additionally, the Tan Tao University Application for Financial Assistance must be completed and returned to Accounting Department.

The benefit for each eligible dependent is limited to a maximum of eight semesters. In the case of transfer students, this benefit is limited to the number of semesters necessary at the time of transfer to complete the first undergraduate degree at Rice (not to exceed, and most likely, less than, eight semesters.)

Study at TTU (or any other) summer school is not covered by this benefit.

### **Application and Restrictions**

This policy applies solely to undergraduate degrees at Tan Tao University and to undergraduate degrees at universities with current reciprocal tuition agreements with Rice.

For questions on tuition remission for eligible students admitted to TTU, contact the Director of Human Resources.



## IV- WORKING POLICY

TTU faculty is required to comply with Vietnamese Law and TTU regulations. Any breach will be handled in accordance with the law.

### 4.1 Inter-departmental relationships and department/executive board relationship

All schools, departments, institutes are obligated to closely cooperate with each other and with the Executive Board in order to complete the academic and research objectives raised by TTU.

#### *Coordinating Process:*

**4.1.1 Administrative issues – facilities:** The Administration Department is responsible for supporting other departments and the Executive Board in administrative issues such as stationery, teaching equipment, and incoming and out coming documents, vehicle arrangement, airline tickets, gifts and etc. When other departments have any request relating to teaching, learning, research or training, they are required to send a request approved by their head to the administration department in advance of the day of use.

#### *Details are as follows:*

**4.1.1.1. Stationery:** No later than the 25<sup>th</sup> of every month, departments/ schools/ institutes shall send their stationery requests to the administration department. The requested stationery shall be delivered to each department on the 5<sup>th</sup>-10<sup>th</sup> of every month.

**4.1.1.2. Teaching equipment specified in annual budget approved by the Board of Trustees:**

When any department needs to purchase the above-mentioned equipment, they are required to send their request at least 30 days, in advance of the day of use if those equipment are made in Vietnam and at least 06 months if those equipment need to be imported. The number of prior notification days depends on each kind of equipment.

The request for equipment valued from VND 2,000,000 must be proposed by the Vice Provost of Academic Affairs and approved by the Provost.

For equipment with lower cost, departments' request must be sent to the administration department at least 07 days, in advance of the day of use, and the administration department is obligated to respond within 01 day after the receipt of request.

**4.1.1.3. Vehicle Arrangement:** Any department/school/institute has demand of using car; they must send the request approved by their head to the administration department at least 05 days, in advance of the day of use. The administration department is obligated to respond within 02 days after the receipt of request.

**4.1.1.4. Airline ticket booking:** Airline ticket request for the approved business trips must be sent at least 15 days before the departure day. The administration department is obligated to respond within 05 days after the receipt of request. In urgent cases, faculty members can buy tickets for themselves provided that they have the prior approval by the Provost and the Chief Accountant and then they will be reimbursed.

**4.1.1.5. Gifts:** Any requests for guest gifts must be submitted at least 07 days, in advance of the day of use; in the case that the number of gifts is quite big, the request must be submitted at least 15 days, in advance of the day of use. The administration department is obligated to respond within 02 days after the receipt of request. Gifts for guests should belong to available gift list for PR purpose. Information relating to gift recipients, the visit date and visit purposes must be included in the request.

**4.1.1.6. Other administrative procedures:** All requests must be submitted at least 05 days, in advance of the day of use. The administration department is obligated to respond within 02 days after the receipt of request. Details are as follows:

- **Payment approval - payment – settlement:** The chief accountant is responsible for expenditure request in accordance with TTU regulations for the Provost’s approval. The chief accountant is obligated to check payment request to ensure that the payment process is performed in accordance with TTU regulations and Vietnamese applicable law. The accounting department is obligated to respond within 05 days after the receipt of expenditure or payment request. For the amount incurred by faculty members with the chief accountant’s request and the Provost’s prior approval, the accounting department shall conduct the payment no later than 30 days after the receipt of invoice.
- **Advance for business trip:** Faculty members who need advance for their business trip shall send the request including place, time of their business trip and their supervisor’s prior approval and with the administration department’s signature. The accounting department is obligated to respond within 02 days after the receipt of advance request.

**4.1.2. Human Resources Department:** is responsible for issues relating to contracts, salary, remuneration, social and health insurance policy, recruitment, contract extension, contract termination, appointment and dismissing decisions, compliment and punishing decision, and labor union.

*Details are as follows:*

**4.1.2.1.** For questions relating to contract, salary, remuneration, policies of social and health insurance, recruitment, contract extension, and contract termination, the human resources department is obligated to respond within 07 days after the receipt of questions.

**4.1.2.2.** Any department that needs to recruit employees is required to send their request at least 03 months or 06 months, in advance of the actual working day for the staff and the faculty, respectively.

**4.1.3. Departments, schools, institutes and the Executive Board:** The executive board is responsible for answering questioning issues from 07 to 15 days after the receipt of request, depending on the nature of each issue.

## **4.2 Report Process & Budget Project**

### **4.2.1 Report Process:**

**4.2.1.1.** Dean/Department heads report to the Provost every week, month, and year. They also report directly to the President of the Board of Trustee on request.

**4.2.1.2.** The Provost, Vice Provost, Chief Accountant and Other Senior Managers of Non-Academic Departments are obligated to report to the President of the Trustee Board every week, month, and year.

### **4.2.2 Budget project:**

TTU budget will be allocated according to the school year, at the beginning of every September.

**4.2.2.1.** Vice Provost, heads of departments, schools, and institutes of TTU shall submitted their budget plan with detailed explanations to the chief accountant no later than June 30<sup>th</sup> of each year;

**4.2.2.2.** The chief accountant shall submit TTU's lump-sum budget to the Provost and the Trustee Board no later than July 30<sup>th</sup> of every year;



- 4.2.2.3. The President of the Trustee Board shall approve and allocate the annual budget project for TTU;
- 4.2.2.4. Research themes shall be funded by the Board of Sciences in accordance with the approved budget and mobilized budget. Research within the board's orientation shall be considered as a priority;
- 4.2.2.5. Budget for conferences, meetings, short term cooperation, domestic and overseas business trips: Vice Provosts and deans/department heads send their request to the chief accountant based on the approved budget and TTU regulations.

### **4.3 Visiting academics**

TTU faculty can join visiting academic program of other universities under the following conditions:

- 4.3.1. Faculty members undertake, in writing, that they will fulfill the teaching program at TTU in accordance with MOET's and TTU's regulations and their research plan will not be negatively affected;
- 4.3.2. The written invitation including time per week, date and term of visiting academic program, compensation, accommodation, travel and others must be sent to TTU;
- 4.3.3. Faculty members' compensation will be considered as a sponsor and sent to Research & Development Fund for their department. This policy is subject to change any time without prior notice to the faculty.

### **4.4 Working hour**

- 4.4.1. TTU's fulltime faculty members shall be available for training, teaching, research, learning, meeting and other activities on request provided that such activities do not violate relevant Vietnamese laws and TTU's regulations. Any absence without reason will be considered as absence without pay and the absentee will be punished according to regulations;
- 4.4.2. Faculty members shall undertake the minimum teaching hour and teaching quality specified by TTU and MOET; research projects and research work publication plan must be conducted in accordance with the deans/department heads' registration the approved budget by the Board of Sciences.

#### **4.5 Smoking**

Tan Tao University is a non-smoking environment. Faculty members are not allowed to smoke in lecture halls and in work areas.

Failure to follow TTU guideline in regard to smoking will result in \$100 fine. This amount will be allocated to the Green Fund for to keep TTU environment clean.

#### **4.6 Campus security checks**

**4.6.1.** Faculty members are required to show their badges to the security guard when coming in the university. Loss of any of those badges should be reported as soon as possible to the administration department and the faculty shall incur the cost for a new badge (VND 200,000).

**4.6.2.** In order to take TTU's property out, faculty is required to show the delivery order or the written approval by their department head, vice provosts or the provost to the security guard.

**4.6.3.** Faculty members are required to check and ensure that all the light system, air conditioners, computers and other equipment around their working areas are turned off before leaving. Faculty members shall have to lock their rooms' doors before leaving.

#### **4.7 Telephone Use**

##### **4.7.1. University telephone**

Faculty members may use university telephone solely for conducting university business.

All out going phone calls shall be recorded. Other uses must be authorized by department heads or the direct supervisors. The cost of personal calls will be deducted from faculty members' salary.

##### **4.7.2. Cell phone**

**4.7.2.1.** TTU only furnishes cell phones and pays the call charge for some individuals.

Individual call charge payment shall be specified in advance by the Board of Management. Other additional costs shall be deducted from that person's salary.

**4.7.2.2.** Call charge is subject to change according to each position specified by TTU.

## **4.8 Computer and email use**

**4.8.1.** Email services are primarily intended to allow faculty and staff to conduct university business. Email users are responsible for the confidential information while using emails. Faculty should not read others' emails, share your account or give your password to anyone. Remember to sign out email account before leaving your desk for a long time. Faculty members are responsible for information sent via your email. Faculty do not take advantage of email for your own business or disturb, harass other employees and/ or use email for the purpose of disclosing university confidential information or sending other illegal information.

**4.8.2.** Faculty is responsible for any illegal information within your email.

Reference: See Appendix I *Information Technology Policy and Email Policy*

## **4.9 Media Contact Policy**

Media contact must comply with the guidelines of the President of Trustee Board and the Executive Board. Faculty members are not allowed to contact media on behalf of TTU on your own initiate.

## **4.10 Meeting room – Guest welcoming**

See Appendix *Procedure of Welcoming Guest*

**4.10.1.** Faculty members may welcome their guests at meeting rooms or the reception. Faculty must register to the administration department in advance for the meeting room use.

**4.10.2.** Meeting rooms are always kept tidy for the university's good image. Meeting rooms must be returned to its original state after use. The janitorial department is responsible for furniture arrangement and cleaning after every meeting.

## **4.11 Library**

TTU employees may access library's materials if they register with the librarian. No library materials can be taken out of the library without the librarian's permission, and the faculty members are required to carefully handle the library materials and timely turn them back.

See Appendix F *Library Policy*.

#### **4.12 Office Stationery – Materials – Teaching Equipment**

**4.12.1.** Each faculty member is furnished with office stationery set for their university business. For those which are not given, faculty member may send their request to their head for approval. The approved request should be sent to administration by the 25<sup>th</sup> of every month.

**4.12.2.** Faculty members are not allowed to use others' stationery without their permission.

See Appendix D *Stationary – Facilities – Equipment Procedure*

#### **4.13 Pantry/Canteen**

The pantry must be kept clean and tidy. Faculty members are required to clean the pantry after their use or their guests' use.

#### **4.14 Vehicle**

University vehicle is only used for university business. Faculty members are required to send their vehicle request which was approved by their head to the administration department at least 05 days in advance of the day of use. The administration department is obligated to respond to the faculty within 02 days after the receipt of request.

#### **4.15 Mailing**

**4.15.1.** University's out-going mailing must be sent on behalf of TTU and in compliance with TTU regulations.

**4.15.2.** Standard font for all documents is Arial or Times New Roman, font size: 13. Faculty members are required to use these fonts for outgoing documents which were approved by their heads.

**4.15.3.** In addition to the above mentioned regulation, university mailing can be transferred by fax or other postal services specified by department heads.

**4.15.4.** The administration department or the receptionist shall receive the postal materials for the university business.

**4.15.5.** In coming letters will be handed to the intended recipients every morning with the confirmation on the log book.

#### **4.16 Safe disposal of unwanted paper materials**

**4.16.1.** Faculty may reuse one sided papers if they do not contain important information.

**4.16.2.** Personal and confidential information materials need to be destroyed by paper shredder. Otherwise, paper materials may be destroyed (torn) by hands.

#### **4.17 Receiving Gifts**

Gifts worth over VND 500,000 are not allowed. Such gifts are required to be handed to the administration department for university use.

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

Conflicts of interest may arise when a faculty member's personal interests interfere with his/her responsibility to the university. The key factors in avoiding ethical and legal conflicts of interest are personal responsibility and integrity. TTU expects all faculty members to conduct their outside professional activities in a manner that reflects well on themselves, their profession, and the university. The principal means for managing potential conflicts of interest involves prior disclosure and a dialog between a faculty member and her/his dean. Specific requirements exist concerning potential or real conflicts of interest for faculty members submitting proposals to certain government agencies. These faculty members must file a disclosure statement with their dean.

Special guidelines apply to faculty members who are involved in purchasing supplies, services, and equipment for the university. Faculty members with the authority to commit university funds must disclose whether any potential conflict of interest exists when they request signature authority for the commitment of funds.

Only in special cases may university equipment or facilities be used for services to an outside organization, including those controlled by faculty members, and then only with the explicit written approval of the department chair and dean or applicable vice president.

#### **4.19 Nepotism**

Tan Tao University seeks to foster an environment where people are treated with respect and trust. Employment of family members may be problematic because such situations can create a conflict of interest, an appearance of favoritism, and an increased potential for a hostile work environment. Because of these concerns, the university is sensitive to circumstances in which relatives of employees might be

hired, transferred, or promoted to positions where one relative might have influence over any of the following: a relative's employment, performance review, salary administration, promotion, or other employment-related decisions. Further, employment of relatives in the same department is generally discouraged.

If a relationship develops during the course of employment that would violate this policy, the university will work with the individuals involved to resolve the situation. In all cases, the needs of the university determine the resolution.

The responsible supervisor should take measures in consultation with the appropriate dean/vice provost and the director of Human Resources. If an approved employment relationship exists where individuals work together in the same department, evaluation and recommendations concerning performance and/or salary will be accomplished at the next higher level of supervision.

The University requires full disclosure of any relationship as defined below to Human Resources at the time of employment or at any time that it occurs in the course of employment.

Relationships covered by this policy include: spouse, spousal equivalents, parents, grandparents, brothers, sisters, children, grandchildren, aunts, uncles, nephews, nieces, and relatives by marriage (in-laws).

#### **4.20 Drug Free**

Tan Tao University is a drug free school. Under the law No.23/2000/QH10 on drug prevention and fight by National Assembly in December 9, 2000, the unlawful possession, use, or distribution of illegal drugs and alcohol on the property of Tan Tao University, or as part of any university activities, is prohibited. "Illegal drugs" are those chemicals that are specifically identified in Article 2, Chapter I of the Law on drug prevention and fight.

**4.20.1** In a good faith effort to comply with the Law on drug prevention and fight, Tan Tao University will take the following actions:

- Organize the implementation of the education program on drug prevention and fight; to educate pupils, students and employees in the legislation on drug prevention and fight as well as the healthy way of life; strictly manage

and prevent pupils, students and employees from involving in drug-related evils;

- Coordinate with families, agencies, organizations and local administration in managing and educating pupils, students and employees about drug prevention and fight;
- Coordinate with health bodies and local administration in organizing tests when necessary in order to detect drug addicts among pupils, students and employees.
- Confidential counseling, treatment, and rehabilitation programs are available to both students and employees. Students may contact the TTU Student Affair Department, or TTU Health Center. Employees may contact Human Resource Office, or TTU Health Center.

**4.20.2** Serious legal sanctions may be invoked under government laws for the unlawful manufacturing, possession, use, or distribution of illegal drugs and alcohol.

**4.20.3** The University's usual investigative and disciplinary procedures will be used to address any allegations that this policy has been violated. In all cases the University will protect, to the maximum extent possible, the rights of all parties involved. A person who wishes to report a violation of this policy should contact the following: The Provost if the allegation is against a faculty member; the Director of Human Resources if against a staff member; Vice Provost for Student Affairs if against a student.

**4.20.4** When a violation of this policy occurs, the University will take appropriate action, which may include requiring the student or employee to participate in a drug or alcohol rehabilitation program. Disciplinary sanctions up to and including expulsion, termination of employment, and/or referral for prosecution are also available to the University.

#### **4.21 Discrimination and Sexual Harassment**

Membership in the academic community imposes on faculty members, university officials, and students an obligation to respect the dignity of others, to acknowledge their right to express differing opinions, and to foster and defend intellectual honesty, freedom of inquiry and instruction, and free expression on and off campus. It is therefore the policy of Tan Tao University to provide an environment that is free from discrimination on the basis of race, color, religion, sex, sexual orientation,

national or ethnic origin, gender, age, disability or veteran status. Any discriminatory conduct seriously undermines the atmosphere of trust and respect that is essential to a healthy academic environment.

Furthermore, it is Tan Tao University's policy to take affirmative action to ensure equality of opportunity in all aspects of employment. Members of the TTU faculty share with the administration responsibility for sustaining this policy and should work with the Human Resources Office to ensure that women and individuals from minority groups will have an equal opportunity to be considered for and appointed to faculty positions.

Sexual harassment is prohibited by law. It is the policy of Tan Tao University to provide an environment that is free from sexual harassment. Sexual harassment may involve the behavior of a person of either sex against a person of the opposite or same sex and occurs when such behavior constitutes unwelcome sexual advances, unwelcome requests for sexual favors, and other unwelcome verbal or physical behavior of a sexual nature where:

- submission to such conduct is made either explicitly or implicitly a term or condition of an individual's education or employment;
- submission to or rejection of such conduct by an individual is used as the basis for academic or employment decisions affecting the individual's welfare; or
- such conduct has the purpose or effect of substantially interfering with an individual's welfare, academic or work performance, or creates an intimidating, hostile, offensive, or demeaning education or work environment.

This policy applies to all members of the university community, who are encouraged to report promptly complaints about sexual harassment. Persons found to be in violation of this sexual harassment policy will be subject to disciplinary action that may include, but is not limited to, written warning, demotion, transfer, suspension, or dismissal.



## 4.22 Amorous Relationships

Amorous relationships between faculty members and students are problematic even if they do not involve sexual harassment, as described in the preceding section, and even if they involve mutual consent. This is due to the "inherently unequal positions" of the individuals involved and the "potential for such serious consequences" resulting from such relationships. As such, many of these amorous relationships do not, in the view of the Faculty Senate, conform to the professional standards of the university.

The potential hazards such relations pose not just to our students but also to third parties and to the larger university environment:

In an academic setting such romantic or sexual relationships conflict with the implicit trust we encourage our students to enjoy vis-à-vis their professors, may negatively impact the university environment when they begin to affect third parties, can result in emotional and psychological damage, and always have the potential for an abuse of power that constitutes unprofessional conduct. We hold that consensual romantic or sexual relationships between faculty and undergraduate students, and between faculty and graduate students over whom the faculty member has direct or indirect professional responsibility, violate professional ethics and may be subject to disciplinary action, including such severe sanctions as suspension or dismissal.

In other words, complaints about amorous relations need not require that specific harm be shown; the existence of certain amorous relations may subject a faculty member to disciplinary action. The Faculty Senate noted three especially problematic relationships that might merit sanctions:

- A romantic or sexual relationship between a faculty member and a graduate student over whom that faculty member has either direct or indirect professional responsibility is presumed to constitute a conflict of interest and to violate professional ethics and this faculty statement even if consensual.
- Accepting or exercising professional responsibility for any student with whom a faculty member has had a previous sexual or romantic relationship within the previous three years is presumed to create a conflict of interest and to violate

professional ethics and this faculty statement unless there is prior full disclosure of the relationship to the Dean or the Provost and development of an acceptable plan to manage the conflict.

- A romantic or sexual relationship between a faculty member and *any undergraduate student* is presumed to constitute a conflict of interest and to violate professional ethics and this faculty statement even if consensual.

It is the faculty member's responsibility as a professional to avoid such a situation, or if a conflict of interest becomes possible, to inform the provost "as soon as one becomes aware of the potential conflict," or to consult with the provost or dean if in doubt. The Faculty Senate urges faculty members to "err on the side of disclosure" in such matters. Even merely potential conflicts of interest may, if left unaddressed, create a situation in which perceptions of favoritism or unfair treatment could provoke complaints or sexual harassment charges by third parties.

#### **4.23 Disability Accommodations**

The Vietnam Law on Persons with Disabilities No 51/2010/QH12 by the National Assembly on June 17, 2010 requires that Tan Tao University provide accommodations for individuals whose disabilities impact them in their pursuits at the university. TTU, accordingly, provides reasonable accommodations such as adaptive technology and equipment, including assistive listening units and Braille embossers, audio texts for the blind, and other accommodations and assistance based on documented needs. Access to buildings at Tan Tao University is, in general, good; specialized modifications are made in offices and classrooms as needed. Faculty members who have disabilities or who have students in their classes with disabilities should work with the chairs of their departments, the provost, and the director of Disability Support Services to take full advantage of the facilities and services that are available for people with disabilities. Faculty are advised to include ADA statements on their syllabi and to direct students with disabilities to Disability Support Services; that office provides examples of ADA statements on their "faculty information" link, under the heading "Informing Students". Faculty should expect to receive an Accommodation Letter from Disability Support Services indicating the accommodations that a student with a disability will need.

Tan Tao University is committed to equal opportunity for individuals with disabilities. In keeping with the university's mission to provide an unsurpassed education, Disability Support Services (DSS) provides accommodations and support services to students, faculty, staff and visitors with disabilities. TTU is committed to compliance with the Vietnam's Law on Persons with Disabilities, and continually strives to make programs and facilities accessible.

## V- FACULTY RIGHTS AND RESPONSIBILITIES IN TEACHING

*Tan Tao University focuses on teaching quality and encourages faculty members to devote their ability to the teaching and to their students. TTU's objective is to provide an excellence education for Vietnamese young generation for the future of the country.*

**Faculty responsibilities are conducted through 03 following criteria:**

- TTU aims to become a Research University;
- TTU aims to be verified and recognized by the US Organization of Education Verification by 2020;
- To build up TTU culture for students to become the pioneers in all industries of Vietnam.

### 5.1 Teaching hours

5.1.1. Teaching hour must meet the minimum specified by MOET.

5.1.2. Each faculty member shall teach 2 subjects every semester. If any faculty member has 9 teaching hours per week, he/ she can be required to teach 3 subjects every semester.

5.1.3. If any faculty member needs more time for research or managing task, their teaching hour can be decreased in accordance with MOET regulation. The decrease on teaching hour must be adjusted in compliance with university teaching schedule and is not considered as faculty's privilege.

### 5.2 Teaching Quality Assessment

5.2.1. Teaching Quality Assessment is one of the primary parts in annual faculty assessment process. Excellent faculty may be considered for salary augmentation or remuneration or promotion, in accordance with TTU's policy and budget.

5.2.2. Students will participate in faculty assessment process at the end of each semester. Assessment process must be seriously and confidentially conducted. Staff, faculty and department heads also participate in faculty assessment.

### **5.3 Teaching and research equipment**

TTU will furnish all equipment necessary for effective teaching such as lab equipment, computers, internet, printers, photocopiers, working area for faculty and learning area for students in the limits of university budget.

See Appendix on *Policy for internal expenditure* and *Stationary – Facilities – Equipment Procedure*

### **5.4 Teaching plan and syllabus update**

**5.4.1.** All faculty members are required to schedule their teaching plan and update their courses periodically to reflect the latest scholarship in the fields they teach. This is a part of his/her responsibilities and not considered as an extra work for additional compensation or working time adjustment.

**5.4.2.** Faculty members will distribute their course syllabi to their heads and students, including:

- Objectives and subject scheme
- Teaching schedule and discussion
- Required documents and document access
- Homework with detail deadlines
- Grading policy, the grading rate of assignment
- Detailed information of examinations and final examination including date, time, content and requirements.

Details are subject to change according to each faculty member. Assignment requirements and examination guiltiness must be clearly expressed. This is an important aspect in Vietnamese education.

**5.4.3.** All syllabi mentioned in Section 5.4.2 shall be sent to IT department for storage in Faculty Database for MOET and US University Verification purposes.

### **5.5 Student Consulting**

**5.5.1.** Faculty members are responsible for academic and vocational consulting for students, including:

- Syllabi;

- Research;
- Higher education;
- Vocational orientation and career;
- Writing recommendation for students;
- Student contact.

**5.5.2.** Each department will establish their own student advisory system under the supervision of their head.

**5.5.3.** When TTU comes into development, departments will establish policies and procedures on higher education consulting, including research, teaching assist and student supporting in research and career development.

Time for student advisory at office is at least 08 hours per week. The schedule of university office duty must be distributed to their students and their heads at the beginning of each semester.

## **5.6 Absence from Class**

5.6.1. Lecturers will be present according to teaching schedule. If there is any reasons (except for sickness leave or serious emergency), he/she must send their prior notification to their head. The department heads will be in charge of replacing assignment.

5.6.2. In case those faculty members are absent due to academic purpose, they need their heads' approval. Absent time due to conference of each semester do not exceed 03 sessions every subject. That faculty must arrange other faculty to replace them and inform their heads for their approval. During absent time, the faculty should give homework for their students.

5.6.3. Attendance is an important thing in faculty assessment.

## **5.7 Regarding students**

5.7.1. In treating students, faculty members conduct in accordance with the applicable law.

5.7.2. Faculty members are always expected to respect students and adhere to the proper role as an instructor and encourage students to fulfill their tasks.

**VI- RESEARCH, RESEARCH FUNDING, AND CONSULTING**

- *Tan Tao University encourages and promotes opportunities for its faculty to conduct research successfully. Faculty members need to make all possible effort to find his/her own funding for research as well as consulting relationships.*
- *Tan Tao University shall provide time and monetary support for exemplary research proposals that are aimed toward building Vietnam.*

**6.1 Research**

- 6.1.1. The University will make every reasonable effort to facilitate research opportunities for the faculty, for example by seeking and setting up collaborative relationships with other individuals and entity domestically and internationally.
- 6.1.2. Tan Tao University support faculty summer research. Proposal for summer research must be submitted and approved by the Dean and the Provost. The proposal must include: research topic, methodology, location, time commitment, and foreseeable deliverables. Research outcome from the summer research activity must be reported immediately after completion.
- 6.1.3. After completion of each research period, the faculty member must submit a report to his/her Dean as well as the provost reporting on the research project as well as results achieved.
- 6.1.4. Faculty may request from the Dean a reduction of teaching load during the regular semester to compensate for research activities. The request may or may not be granted depending on the teaching load of the department as well as fulfilling obligations set by MOET.
- 6.1.5. Plans for research activities during the school year as well as summary report afterward also need to be submitted similar to that of summer research.
- 6.1.6. The Provost makes the final decision regarding reducing teaching load for research after considering recommendations from the Dean.
- 6.1.7. Research evaluation
  - The Dean of the respective school shall evaluate the quality of research done by faculty members in that school. The report is then submitted to the school's academic committee for a final decision. The Dean can consult with other schools/departments/institutes if further professional expertise is needed.

- Faculty members conducting high quality research will be considered for promotion and salary raise.

6.1.8. Faculty members who travel outside of Vietnam for research shall receive at a maximum 3 months of paid salary. During these 3 months of research leave/travel, 1 month will be considered as annual leave.

Any time spent beyond 3 months shall not be compensated.

## **6.2 Faculty research fund**

6.2.1. Only full-time contract faculty members are eligible to apply for support from this fund.

6.2.2. Each faculty must summarize the research plan and submit to the Department head or Dean at the latest May 30 each year. The Department head/Dean shall collect and present research plans for his/her group to the Faculty Senate. The committee shall decide on the research plan at the latest August 31.

6.2.3. Faculty members must seek for funding by him/herself before asking for support from the TTU faculty research fund.

6.2.4. Grant from the faculty research grant can be used for the following activities:

- Funding for conferences (domestic and international); in this case, the fund can be used for roundtrip travel (economy class) and 4 days at the conference.
- Must be used for conferences that are high quality, well-known.
- The faculty member must have at least one paper published at the conference.
- Those who are eligible for funding shall be reimbursed with appropriate receipts and documentations
- For purchasing necessary equipment to support research
- Other costs
- Data collection cost
- Travelling costs to and from research site if the research site is at the researcher's home country – which is covered by the home leave expense.



### **6.3 Research grants**

- 6.3.1. Faculty researchers are encouraged to seek research grants from domestic and international sources. Deans and the university administrative staff shall help with any paperwork or logistical support needed.
- 6.3.2. Faculty researcher cannot independently submit application for grant funding without approval from the university. The Provost shall approve all research plans that are asking for grant funding.
- 6.3.3. All research grant application must be made on behalf of Tan Tao University

**See Appendix M on Research Grant**

### **6.4 Outside consulting**

- 6.4.1. All consultation activities by the faculty must be approved by the Provost.
- 6.4.2. Each faculty member can only use at the maximum 10 hours per week for consultation activities. He/she must be able to satisfy all teaching and research activities for TTU as specified in the contract. If the consulting activity requires the faculty member to be away from TTU, affecting his/her teaching and research load, he/she must apply for load reduction from the Provost.

### **6.5 Intellectual property**

- 6.5.1. Faculty members must strictly follow all university policies regarding intellectual properties and all agreed intellectual properties term specified in the contract.
- 6.5.2. On ideas and inventions

TTU shall be the sole intellectual owner globally on all ideas, notions leading to inventions and innovations of value, all research secret, etc... generalized as “intellectual properties”, regardless of whether the idea leads to a patent or not. This includes all ideas, innovations, and inventions by TTU faculty members him/herself or in collaboration with others during the faculty member’s employment at TTU until six months after contract termination. These regulations apply to all intellectual properties conceived during: (1) work hours, (2) after work hours, (3) weekends, holidays, sick days, and all leave days (with or without permission). The faculty members shall release to TTU all rights regarding any gains benefiting from his/her intellectual property when requested by the university. The faculty member shall complete all paperwork and perform other actions necessary to

relinquish and transfer intellectual property rights to TTU in order for TTU to apply for patent certification in Vietnam, USA, and other places in order to protect TTU's right to intellectual property ownership. The responsibility to complete the said paperwork shall continue after employment expiration of the faculty member. The responsibility will be that of the person who continues the research work, the executor, administrator, or representative of the faculty member and his/her research project. All complaints and appeals by the faculty member toward TTU, regardless of whether basing on employment contract or other documents, shall not impede the execution of intellectual properties regulations outlined in this section. These regulations shall not apply to any intellectual property belonging to the faculty member before the day he/she is recruited to TTU given that he/she lists all these intellectual properties at the time of employment contract signing. Failure to do so means that the intellectual property rights belong to TTU.

**VII- UNIVERSITY SERVICE**

- 7.1** Tan Tao University is a newly established institution. Therefore, TTU encourages all contributions (e.g., ideas, recommendations, etc...) by all faculty and staff members toward building a better TTU for all. Therefore, in addition to teaching and research, all faculty members are encouraged to find ways to lend their effort and expertise toward developing the university.
- 7.2** Contributions to the school include: improvement on the curriculum, ideas to improve pedagogy quality, ideas to create academic programs, research centers, alliances with other universities, faculty support, and joining student support activities.
- 7.3** Time invested in contributing to the university shall not exceed 3 hours per week.
- 7.4** Contributions by the faculty members to the school shall be one of the criteria for annual performance evaluation.

**VIII- FACULTY PERFORMANCE EVALUATION: CONTRACT RENEWAL AND PROMOTION****8.1 Evaluation period**

8.1.1. Each faculty member's performance will be evaluated annually.

8.1.2. The first round of review shall be completed on April 1st. Those with favorable reviewed shall be invited back for contract renewal.

**8.2 Evaluation criteria**

- Teaching ability as reflected by the number of students who achieve the grades to be eligible for the "ITA for the future" scholarship.
- Attend all lectures, does not miss any lecture during the year.
- High quality research topic and publications in well-known journals, conferences.
- Number of students who register for the faculty member's class
- Evaluation of the faculty member by students
- Collaborative and supportive attitude toward other colleagues.
- Passionate about his/her job, dedication to the students
- Honesty and high ethical standards expected from a faculty member
- Potential for contribution to TTU's development objectives

**8.3 Evaluation process**

- Each year, the faculty member shall prepare a comprehensive report to list all his/her accomplishments in teaching and research, contribution to the school, and other activities relevant to the evaluation.
- The evaluation file shall include students' evaluation of the faculty member for each course. The faculty member shall receive a copy of the evaluation form after tabulation by the HR office.
- Head of department/ Dean may ask the faculty members to evaluate one another. This evaluation shall remain strictly confidential. The department head/Dean may consult with faculty members further if needed.

- Department head/Dean may ask faculty members outside of TTU to evaluate the faculty member's research, publications, and course syllabus. The TTU faculty member may also ask his/her colleagues from other school to evaluate his/her work.
- Department head/Dean shall combine all evaluations each year. The evaluation file will also include constructive feedback toward the professional development of that faculty member. After evaluation is completed, the head of department/Dean will discuss directly with the faculty member the evaluation result. The department head/Dean shall make final revision to the evaluation result. The result will be included in the faculty member's personnel file.
- Based on the evaluation file, the department head/Dean shall recommend to the Provost on contract extension/renewal (or termination), promotion and raises for excellent candidates.
- All paperwork related to evaluation shall be strictly confidential. This is the responsibility of the department head and Dean.

**8.4 Decision on contract extension, evaluation, termination, promotion, or special recognition**

- The provost shall make the final decision on contract extension/renewal or termination, as well as any promotion, raises, disciplines or special recognitions for a faculty member.

**IX- FACULTY PARTICIPATION IN GOVERNANCE**

**9.1 Within the School**

Within each School, the Dean, in consultation with the Faculty, will develop regular and inclusive procedures for consultation within the School about academic matters, including teaching duties, curriculum and academic standards, and development of the School.

**9.2 Collaboration**

Faculty members have an obligation to seek cooperative solutions to the many issues that inevitably arise, and to promote a spirit of problem-solving and positive initiative rather than complaint. Faculty members who are dissatisfied for any serious reason may seek an appointment with the Provost to discuss their concerns, and may inform members of the Board of Trustees.

**X- TEACHING, RESEARCH AND SERVICE AWARDS****10.1 Teaching and Research:**

Chu Van An Award for Excellence in Teaching; Le Quy Don Award for Excellence in Research; Hai Thuong Lan Ong Award for Excellence in Teaching in the field of Medicine.

**Purpose**

The Award is determined by the voted of the current students and all faculty members of the school.

**Eligibility**

All faculty members who have status of full-time contract with TTU are eligible. Faculty must have taught at least 2 scheduled courses by the time of the evaluation of the Award.

**Criteria**

The excellent teacher is the one who demonstrate great attitude toward teaching career, impress students with their class organization and enthusiasm of teaching through mentoring, innovative practices, collaboration, scholarship, and advocacy.

**The Award**

**One faculty member** will be selected each year. The winners will be announced by end of June.

The actual amount of shares or cash for the prize will be determined each year by the Board of Trustees, depending on the financial condition of the university.

**Nomination Process**

- The prize is awarded by the end of the academic year when the faculty evaluation process finished.

- Each school will propose one faculty candidate for the prize. The portfolio should include the teaching evaluation from students, evaluation from the Dean/department head, and record of classes teaching in the year.
- Best candidate should be submitted by Dean/Department head to the Faculty Fellowship and Awards Committee by May 31. The Committee after discussing will propose for the final approval of the University President.
- HR department store the portfolio and work with account department on the winner's award benefits under the approval.

## **10.2 For the Education Award**

The Education Award is presented to the Staff/Administrators who have an extraordinary performance by always excelling in the position and demonstrate a strong commitment to the university and the general educational mission. The purpose of the award is to recognize their great contribution and encourage them to continuously provide best quality educational service to Tan Tao University's students.

### **Eligibility**

Staff/Administrator must be employed 9 month full-time or more by the time of the evaluation of the Award.

### **Criteria**

The following criteria will be considered in the review of nominations:

- **Outstanding Achievement and Performance:** consistently and substantially exceeds the expectations of the position, performing at a level above and beyond normal job requirements; has made important and significant contributions in their area; has furthered the mission of the university.
- **Personal Interaction:** consistently and substantially demonstrates an ability and willingness to work positively, respectfully, and effectively with others; has significantly improved customer service or has increased student satisfaction in their area; demonstrates ability and willingness to manage changes in work priorities, procedures, and organization.



- Initiative and Creativity: has significantly improved a work process or system, or has significantly increased the efficiency of an operation or department; consistently seeks to improve the quality of work assigned; demonstrates efforts to expand work responsibilities.
- Has strong knowledge and understanding of the university and its mission.
- Long-term Commitment to the university.

### **The Award**

One staff/administrator member will be selected each year. The winners will be announced by mid-January.

The actual amount of the shares or cash for the prize will be determined each year by the Board of Trustees, depending on the financial condition of the university.

### **Nomination Process**

- Staff/Administrators are evaluated at department level within December, including self-evaluation, peer evaluation from other staff and faculty, evaluation from line manager.
- Department head will propose best candidates to the Staff Fellowship and Awards Committee by December 31.
- Best nominators will be sent to the President for final decision.
- HR department store the portfolio and work with account department on the winner's award benefits under the approval.

**XI- ACADEMIC INTEGRITY**

- 11.1** Tan Tao University insists on academic integrity of faculty and students. TTU will act to establish an academic culture which values original work and does not tolerate plagiarism, falsification of data, copying, or cheating. Faculty members are required to fully acknowledge the contributions of others to their own publications and research, and in all publications and research to use only data which is accurate and verifiable.
- 11.2** Violations will be cause for suspension and possible dismissal. Faculty members are also expected to explain academic integrity to their students, including the standards for proper use and citation of sources in papers and assignments, and to insist on those standards in their courses. Faculty are to uphold the TTU no tolerance policy for cheating on assignments and examinations (see **Appendix B** on *Academic Rules and Regulations*), and to cooperate with the Deans in the event of violations.

**XII- CONDUCT****12.1 The reputation of the University and appropriate conduct**

A good reputation is our most precious possession. TTU faculty members will act at all times to uphold and enhance the reputation of Tan Tao University, by appropriate behavior including cultural sensitivity. Conduct on or off campus which damages the reputation of the University can be cause for sanction up to immediate dismissal. Such conduct includes drunkenness, use of drugs, deliberate personal or cultural disrespect, harassment of students, colleagues or staff in any form, including sexual harassment, and any criminal behavior. It also includes accepting any material consideration which may influence a grade or provide some other unmerited advantage to a student or colleague.

**12.2 Dress and behavior**

Faculty members shall, when on campus grounds and university business, dress in a way that is suitable to the academic environment. Faculty members are not allowed to wear shorts, T shirt, and slippers during working hour, when meeting TTU's partners or guests, and participating in important events such as conferences, meetings, and others.

Faculty members are expected to exemplify courteous behavior and professional conduct toward students and colleagues at all times.

**XIII- CHANGES TO THIS HANDBOOK**

*Tan Tao University faculty handbook is a work in progress during its first several years. Additions and changes will often be necessary.*

- 13.1 Changes to the Faculty Handbook** will be proposed by the Provost, after discussion with the Faculty Senate. The Provost will consult the Vice Provosts, the Deans, and others as appropriate.
- 13.2** Changes may be suggested to the Provost by any faculty member.
- 13.3** The members of the Faculty Senate are responsible for informing faculty in their schools about proposed changes.
- 13.4 Changes or new policies** involving conditions of employment or other important matters must be approved by the Board of Trustees.

**XIV- VIETNAMESE LAW**

All internal policies of Tan Tao University must remain consistent with the regulations and policies of the law of the Socialist Republic of Vietnam. It is the responsibility of the Provost, working with the Vice Provosts, Deans, and other officers, to ensure this compliance.