

CLARK ATLANTA UNIVERSITY



TM

Administrative Policies & Procedures

JANUARY 2006

Revised: January 2006

TABLE OF CONTENTS

FOREWORD

I.	PERSONNEL POLICIES AND PROCEDURES	<u>PAGE</u>
1.0	Employment of New Personnel	I-1
1.1	Changes in Employment Status for Continuing Employees	I-2
1.2	Overtime Pay	I-3
1.3	Supplementary Pay for Internal University Projects	I-4
1.4	Supplementary Pay Rates from Sponsored Projects	I-6
1.5	Contractual Procedures for Non Exceptional Supplemental Pay	I-7
1.6	Payments to External Consultants	I-8
1.7	Consulting Payments for International Assignments	I-9
1.8	Funding and Salary Recovery and Summer Employment	I-10
1.9	Verification of U.S. Citizenship for New Employees	I-11
II.	BUSINESS AND FISCAL AFFAIRS	
2.0	Procurement of Goods and Services	II-1
2.1	Signatory Authority on Requisitions	II-1
2.2	Purchasing Office, Purchase Requisitions and Travel Requisitions	II-2
2.2.1	Travel Advances	II-5
2.2.2	Reimbursement for Travel Expenses	II-6
2.3	Budget Planning	II-7
2.3.1	Committee on Budget and Planning	II-7
2.3.2	Budget Adjustment Requests	II-8
2.4	Petty Cash Funds	II-9
2.5	Purchasing from Employees and Family Members	II-10
2.6	Request for Lease or Rental	II-11
2.6.1	Rental Agreements	II-11
2.6.2	Lease Agreements	II-11
2.7	Purchasing Policy	II-12
III.	RESEARCH AND SPONSORED PROGRAMS	
3.0	Proposals to Government Agencies	III-1
3.1	Establishing Budget Codes for Restricted Funds	III-2
3.2	Budget Revisions for Restricted Projects	III-3
3.3	Project Implementation	III-3
3.4	Monitored Workload	III-4
3.5	Ownership of Equipment	III-5
3.6	Cost-Sharing: General	III-6
3.7	Proposals to Government Agencies: Cost-Sharing	III-7

3.8	Audit and Audit Reports	III-7
3.9	Proposals to Government Agencies: Indirect Cost	III-8
3.10	Sharing Indirect Costs on Domestic Research Projects	III-8
IV. FUNDRAISING AND MARKETING & COMMUNICATIONS		
4.0	Charitable Contributions	IV-1
4.1	Private Sector Solicitations and Proposal Approvals	IV-1
4.1.1	Proposal Approval Procedures	IV-2
4.1.2	Receipt of Fund Raising Proceeds	IV-3
4.1.3	Announcement of Awards	IV-4
4.1.4	Naming Campus Facilities	IV-5
4.2	Use of Gifts for Financial Aid and Scholarships	IV-5
4.2.1	Endowment Support	IV-5
4.2.2	Contributions to the Annual Scholarship Fund	IV-7
4.3	Alumni Association	IV-8
4.3.1	Governance of Alumni Association Chapters	IV-9
4.3.2	General Alumni Affairs Fund Raising Guidelines	IV-9
4.3.3	Circulation of Roster of Alumni Names	IV-10
4.4	University Relations/Media and Public Information	IV-10
4.4.1	University Relations/Publications Review and Approval	IV-11
4.4.2	Official Spokesperson for CAU	IV-12
4.5	Request for Photographic Services	IV-12
4.6	University Publications	IV-13
4.6.1	Publication Request	IV-13
4.6.2	Requesting Media Coverage	IV-14
4.6.3	Internal Publicity	IV-15
4.6.4	External Publicity	IV-16
4.7	Special Event Planning Procedures	IV-16
4.7.1	Scheduling of Special Events	IV-17
4.8	Internal Printing	IV-18
V. GENERAL ADMINISTRATION		
5.0	Issuance and Return of Keys	V-1
5.1	Legal Services	V-2
5.2	On-the-Job Injury	V-3
5.3	Smoking Regulations	V-4
5.4	Use of CAU Facilities	V-5
5.4.1	Use of the Aspacio Atrium in Trevor Arnett	V-6
5.5	Use of University Seal, Logo and Symbol	V-7
5.5.1	The University's Seal	V-7
5.5.2	Use of the Seal	V-8

5.5.3	The University's Logo	V-8
5.5.4	Use of the Logo	V-8
5.5.5	The University's Monogram	V-9
5.5.6	Use of the Monogram	V-10
5.5.7	University Mascot Symbols	V-10
5.5.8	Use of Images from the Art Galleries' Collection	V-11
5.5.9	University Colors and Typography	V-11
5.6	Official University Stationery and the Use Thereof	V-12
5.6.1	Obtaining University Business Cards	V-13
5.6.2	Patent and Copyright Policy	V-14
VI.	LEAVE BENEFITS	
6.0	Annual Leave Benefits	VI-1
6.1	Eligibility	VI-1
6.1.1	General	VI-2
6.1.2	Limitations	VI-3
6.1.3	Annual Leave Policy Accrual Schedule	VI-4
6.2	Holiday Benefits	VI-5
6.2.1	Legal Holidays/University Holidays	VI-6
6.2.2	Holiday Observance	VI-6
6.2.3	Eligibility	VI-7
6.3	Personal Days	VI-7
6.4	Sick Leave Benefits	VI-8
6.4.1	Eligibility	VI-9
6.4.2	Accrual of Sick Leave	VI-9
6.5	Administrative Responsibility	VI-10
6.6	Limitations	VI-11
6.7	Exceptions	VI-11
VII.	TUITION REMISSION	
7.0	Tuition Remission Policy	VII-1
7.1	Employee Eligibility	VII-1
7.2	Spouse and Dependent Eligibility	VII-2
7.3	General	VII-3
7.4	Limitations	VII-4
7.5	Application Procedure for Tuition Remission Benefits	VII-6
7.6	Separation from the University	VII-8

APPENDICES

APPENDIX A	STAFF PERSONNEL REQUISITION FORM
APPENDIX B	PERSONNEL ACTION FORM
APPENDIX C	SUPPLEMENTAL PAY FORM
APPENDIX D	CONSULTANT STATEMENT OF WORK FORM
APPENDIX E	PURCHASE REQUISITION FORM (Purchase Order/Check Request/Central Supply Request)
APPENDIX F	TRAVEL REQUISITION FORM
APPENDIX G	REQUEST FOR BUDGET REVISION FORM
APPENDIX H	PROPOSAL APPROVAL FORM
APPENDIX I	FORM 405 – CAU APPROVED RESTRICTED BUDGET
APPENDIX J	COST-SHARING POLICY
APPENDIX K	GIFT TRANSMITTAL ADPFEED REPORT
APPENDIX L	REQUEST FOR USE OF FACILITIES, EQUIPMENT AND SERVICES
APPENDIX M	BUSINESS CARD ORDER FORM

CLARK ATLANTA UNIVERSITY
Administrative Policies & Procedures
FOREWORD

As Clark Atlanta University continues to respond to the demands of a new era of higher education, we are committed to institutional and organizational effectiveness. The need for what we do for our community, the nation and the world has never been greater. Addressing the challenges posed by our expanded vision of ourselves as an American urban university requires that we develop and implement effective administrative policies and procedures.

Clark Atlanta University is a large and complex organization with a wealth of human and intellectual capital. Using that capital wisely requires the University to have appropriate policies that govern human resources, business and fiscal affairs, research and sponsored programs, fund-raising and public relations, general administration, leave benefits and tuition remission.

This manual outlines key administrative policies and procedures that are currently in place at Clark Atlanta University. These policies and procedures may be revised periodically as conditions warrant. We urge each staff member to read this manual carefully and comply with its provisions.

Walter D. Broadnax

President

I. PERSONNEL POLICIES AND PROCEDURES

1.0 EMPLOYMENT OF NEW PERSONNEL

Requests for hiring a faculty or staff member are made using a Staff Personnel Requisition Form (Appendix A). An approved Staff Personnel Form is required prior to advertising or recruiting faculty or staff for newly created positions as well as replacement of an individual in an existing position. It is the responsibility of the Department Chair or Administrative Department Head, as appropriate, to initiate the Staff Personnel Form and forward the completed form to the Office of Human Resources for further processing.

A Personnel Action Form (PAF) (Appendix B) is initiated once a faculty or staff candidate has been identified. A copy of the Staff Personnel Form approved by the appropriate administrators, the Job Description, and the individual's resume are to be submitted along with the PAF to the Office of Human Resources. It is the responsibility of the respective Department Chair or Administrative Department Head to initiate the PAF.

A candidate for employment may be notified by the Unit Head that a official job offer will be forthcoming from the Human Resources Department. The Hiring Manager must submit to the Human Resources Department a PAF with approvals by the Budget Office or Grants and Contract as well as the President, Provost and Vice President for Finance and Administration. The Provost/Vice President for Academic Affairs will prepare the proposed employment contract for faculty.

No individual who is employed under a written employment agreement shall report to work unless a contract or letter of appointment, outlining the terms of employment, has been issued by a representative of the Human Resources Department. In the case of faculty appointments the prospective faculty must sign the contract before reporting to work. All other new hires shall report to work on the designated dates approved by the Human Resources Department. New employees must attend new employee orientation before they can report to work (1st and 3rd Mondays of each month).

The University will be under no obligation to pay a job candidate who reports to work prior to being officially employed by the University through the above-outlined process. Prior to approval of employment, all intended new hires are required to consent to background checks as a condition of employment.

1.1 CHANGES IN EMPLOYMENT STATUS FOR CONTINUING EMPLOYEES

All modifications in the employment status (termination, leaves, sick time, salary changes, transfers, resignations, etc.) of the University faculty and staff must be reported promptly to the appropriate Vice President and the Director of Human Resources prior to the proposed modification in employment status so that appropriate action may be taken. *It is the direct responsibility of the respective Dean or Administrative Department Head to ensure that this communication occurs timely.*

Modifications in employment status should be reported on the Personnel Action Forms (PAFs). These forms are available in the Human Resources Department, Offices of the Vice Presidents, Deans and Unit Heads, and the Office of the Provost. Final action for

routine changes in employment requires the approval of the appropriate Vice President or the Provost (e.g., resignations, extended sick leave, transfers). Changes attributed to promotions or salary increases in excess of 10% of base salary requires the approval of the Vice President of Finance and Administration.

Individuals who leave the employment of the University are encouraged to have an Exit interview, scheduled through the Human Resources Department. All University property must be returned before individuals separating from the University. This process must be completed before receipt of the final paycheck.

The recommendation to separate an employee must have prior written approval by the Employee Relations Manager or Director of Human Resources.

1.2 OVERTIME PAY

The University *actively discourages non-exempt staff* working more than forty (40) hours per week (overtime). It is recognized, however, that work requirements may require occasional overtime. In these rare situations, overtime may be approved by the responsible Unit Head and his/her superior. Under no circumstances shall compensatory time be given in lieu of overtime. *Systematic and/or prolonged overtime must be approved in advance by the appropriate Vice President with a Personnel Action Form (PAF).*

The standard work week for CAU staff employees is thirty-five hours. The standard work week for monthly rated employees begins on Monday. Therefore, an employee would normally complete the thirty-five hour week on Friday. Since the week begins on Monday, Saturday and Sunday would normally call for overtime pay for non-exempt employees if the total number of hours worked between Monday and the following Sunday exceeds forty hours. This would mean that the first five hours of overtime for employees working on a thirty-five hour schedule are to be paid at the regular rate and all hours in excess of forty hours would be paid at time and one-half. Non-exempt employees on a forty-hour schedule are paid at the overtime rate after forty hours of work.

The above statements relate to work time. If sick or vacation leave is involved, the leave time does not count as working hours for overtime pay. For instance, if a person were on leave for the full week and then worked on Saturday, no overtime pay would be paid. These would be regular hours instead of time and one-half.

1.3 SUPPLEMENTARY PAY FOR INTERNAL UNIVERSITY PROJECTS

Faculty and staff participation in programs and projects administered or conducted by the University and supported by extramural contracts, grants, or other types of agreements shall be considered a part of the faculty and staff member's responsibilities to the University.

Federal grants and contracts permit extra pay only in unusual circumstances. During the time that a faculty/staff member is under contract to the University, be it on a nine-, ten-, or a twelve-month appointment, the University shall be entitled to full and complete services with regard to any University activity. Therefore, if a faculty/staff member is participating in an extramural program or project within the University, whether in the same department, a different department, or one that crosses school or department lines, the appropriate part of the employee's regular salary will be provided by the program or project budget. Under these circumstances, no increase in the employee's base compensation shall be permitted.

The University recognizes that there are certain irregular, short-term University activities which because of their nature, their frequency of occurrence, lack of prior knowledge and recognition of the demand for services, may need to be handled on an exceptional basis. In these cases, the University's policy shall be to recognize such situations on an exceptional basis and to permit extra compensation to be paid provided that all of the following conditions exist and are documented in writing by the unit head:

1. The work is carried in addition to a normal load.
2. No qualified person is able to carry the work as part of their normal load.
3. The project or program budget includes sufficient extramural funds to cover costs of the extra compensation and the extra pay for overload work is permissible according to the rules of the funding agency.

4. The additional duties shall not be so heavy as to interfere with the performance of regular duties.
5. Approval through regular University channels is obtained in advance by completing a Supplemental Pay Form (Appendix C).

A project or program director for an extramural project or program shall not receive payment or extra compensation for work on the project or program he/she directs. Also, in no case shall a unit administrator receive extra compensation for work on an extramural project or program that is carried out within the unit.

When extra compensation is paid for University-administered extramural activities, the pay shall be consistent with summer employment regulations and/or the guidelines established in Section 1.5 below.

1.4 SUPPLEMENTARY PAY RATES FROM SPONSORED PROJECTS

Circumstances involving supplemental remuneration must be justified in advance and have prior approval as indicated below:

1. Supplemental remuneration for short-term (1-5 days) technical assistance services (project evaluation, workshop presentations, program development, etc.) must have prior approval by the respective Dean or Division Head.
2. Supplemental remuneration for sponsored project activities of 6-10 working days' duration must have prior approval by the Provost/Vice President for Academic Affairs or respective Vice President, Dean, and the PI/PD or Departmental Chairperson.

3. Sponsored project activities of duration greater than fifteen (15) working days must be incorporated into the regular work load for the semester, with the salary distribution adjusted accordingly.
4. The maximum allowable supplemental remuneration for sponsored project activity for a faculty member should not exceed twenty percent (20%) of the academic year salary.
5. Supplemental remunerations are subject to future adjustments and must have prior approval by the Dean, Provost, Sponsored Programs, Centers, Institute Directors and Associate Directors. The amount depends upon the scope and the annual level of funding of the program, Center or Institute and the work load of the Director in addition to requiring approval on a year-to-year basis.

1.5 CONTRACTUAL PROCEDURES FOR NON EXCEPTIONAL SUPPLEMENTAL PAY

All contracts for faculty will be prepared in the Office of the Provost and Vice President for Academic Affairs. The academic year or annual contracts will contain the total salary (base plus supplements and/or summer) to be paid to a faculty. The contract will indicate the unrestricted and restricted contributions to the salary.

On or before May 30th, the Vice President of Institutional Advancement and University Relations will forward the following information to the Office of the Provost:

- The names of all faculty persons who will receive supplements from research grants, contracts, programmatic grants and contracts during the next academic or calendar year (including summer).
- The amount of the supplement, the grant number(s) and expiration date of the grant from which the supplement is to be paid.

If a project expires during the following year and/or if there is a need to switch a faculty member from one project to another during the year, that information should be transmitted to the Office of the Provost and Vice President for Academic Affairs.

1.6 PAYMENTS TO EXTERNAL CONSULTANTS

Prior to engaging the services of an external consultant whose total fee will exceed \$1,000, approval must be obtained using the same line of authority as used with other purchases. A copy of the proposed contract with a statement of work to be completed by the consultant must be attached to a Personnel Action Form (PAF) and submitted in accordance with University policies.

After completion of the work, the CAU Consultant Statement of Work Form (Appendix D) and the Purchase Requisition Form (Appendix E) must also be completed with the appropriate authorized signatures. These two forms should be attached to the PAF for approval to pay a consultant for work performed for CAU.

Consultant Services: No school or department within the University has authority to contract for the services of a consultant whose fee exceeds \$1,000. Such services are defined as work or task(s) performed by independent contractors possessing specialized knowledge, experience, expertise and professional qualifications to investigate assigned problems or projects and to provide counsel, review, analysis or advice in formulating or implementing improvements in programs or services. This includes, but is not limited to, the organization, planning, control, evaluation and operations of a program, agency or department.

The Purchase Requisition, along with a Scope of Work to be Performed Statement along with other attesting documents, must be submitted to the proper University authority for approval. Once approval is secured, the requisition will be forwarded to Purchasing for processing into a Purchase Order.

No consultant will be provided a Travel Advance. No consultant will be paid until all work is complete and a final report or outcome is submitted with an invoice through the Dean or Unit Head in whose area the work was performed. All invoices must include the individual's Social Security Number and/or Federal Employer Identification Number which is an IRS requirement.

Any commitment made by any persons on the University's behalf, without permission of the President and/or the authorized Vice President, will not be paid by the University. The delivery of equipment for purposes of 'trial before purchase' without the knowledge of the Purchasing Department places the University at risk. Persons making such commitments will be held personally responsible for the payment of said items as invoiced.

1.7 CONSULTING PAYMENTS FOR INTERNATIONAL ASSIGNMENTS

Detailed regulations governing overseas work are available in the Office of Research and Sponsored Programs.

1.8 **FUNDING AND SALARY RECOVERY AND SUMMER EMPLOYMENT**

Faculty members are expected to charge that portion of their salary to research grants that corresponds to the released-time made available through the grant. The Provost will make available funds to the school Dean to be used for replacements or for any purposes except extra compensation within the school.

The salary and fringe benefits charged to a research grant or contract during the period (nine or twelve months per year) of a faculty member's full-time appointment do not flow to the faculty member as extra compensation, since they are for work done during the time of the faculty member's obligation to the University. A faculty member may, however, receive credit toward released-time from teaching or other activities equivalent to the percentage of time for which salary recovery was claimed.

Faculty members on nine-month appointments frequently receive a summer salary charged to research grants or contracts. Since these faculty members are not otherwise obligated to the University during the summer months, such salaries do indeed add to the annual nine-month compensation. This policy is consistent with guidelines from most federal agencies and makes provisions for one month vacation during the summer.

The normal amount of compensation for time spent on summer grants equals two-ninths ($2/9$) of the annual salary. In exceptional cases, approved on a year by year basis in advance by the Provost (by June 1), a faculty member may charge three-ninths ($3/9$) of their academic year base salary to a grant, if such provisions are permitted by the granting agencies. In such case, it should be understood that the faculty member works the entire three summer months, without vacation.

1.9 VERIFICATION OF U.S. CITIZENSHIP FOR NEW EMPLOYEES

The U.S. Immigration Reform and Control Act of 1986 imposes civil and criminal penalties on employers who knowingly hire, recruit or continue to employ unauthorized aliens. In compliance with this law, employers are required to verify both identity and work eligibility for all employees hired after November 6, 1986.

Accordingly, the University's policy is that only U.S. citizens and aliens lawfully authorized to work in the U.S. will be employed. In keeping with the Act, CAU will require all new employees to complete the designated Immigration and Naturalization Services "Employee Eligibility Verification" Form I-9. The employee's required documentation along with the I-9 Form must be physically examined by the Human Resources Department before date of hire. A list of acceptable documents appears below:

United States Passport	Certificate of Naturalization
Certificate of U.S. Citizenship	Alien Registration Card with Photo
Unexpired foreign passport with attached Employment Authorization	

Employers are responsible for recertifying employment eligibility of aliens upon expiration of any employment authorization documents, should they desire to continue the alien's employment.

Personnel Policies and Procedures are detailed further in the Staff Handbook, June 2004.

The Staff Handbook, June 2004, governs in the event a conflict exists between the Administrative Policies and Procedures Manual, January 2006 and the Staff Handbook, June 2004.

II. BUSINESS AND FISCAL AFFAIRS

2.0 PROCUREMENT OF GOODS AND SERVICES

The persons authorized to commit the University to contracts of goods and/or contracts for services are limited to the following: the President, Vice Presidents or the Purchasing Manager. Such purchases should be secured by requisition through the Purchasing Department. Commitments include purchases, leases, rentals, and contracts.

2.1 SIGNATORY AUTHORITY ON REQUISITIONS

The Purchase Requisition is an internal, pre-numbered form used to request goods and/or services including External Consultants. This form is not for release to vendors in that it does not obligate the University for payment.

All requests for supplies, equipment, services, rentals or any other transactions that involve the expenditure of University funds require the initiation of a Purchase Requisition.

The person initiating the requisition must have the requisition approved via signature of the Dean, Chairperson or Administrative Head whose allotted departmental budget is affected by the purchase.

The Vice President for Finance and Administration has the authority to design and implement a processing procedure that includes requisitions being submitted to the Office of Budget for compliance verification.

Restricted funding must be submitted to the Office of Grants and Contracts Accounting for budget compliance verification.

All requisitions must have original signatures of those authorized individuals.

2.2 PURCHASING OFFICE, PURCHASE REQUISITIONS AND TRAVEL REQUISITIONS

The Purchasing Office is an agent of the University and is specifically assigned to the Department of Finance and Administration. The Purchasing Office is authorized to procure goods and services and equipment and supplies that support the University's published mission of administration, instruction, research and community services. The Purchasing Office is also responsible for securing goods and services with optimal timeliness, cost and quality. It performs these tasks according to published policies and procedures. The Purchasing Office (1) applies prevailing policies and procedures in the area of buying; (2) maintains a bidding/quotation process for vendors; (3) negotiates contracts for major purchases, lease/purchase or rentals; (4) maintains complete records of all transactions for checks and balances; (5) maintains central supply stock and distributes basic office supplies for inter-and intra-departmental use; (6) manages airline travel accounts by processing travel advances, ordering and receiving airline tickets, and processing requests for reimbursements and reconciliation as outlined in the rules and regulations of the University. The Accounts Payable Office maintains complete transaction records with supporting documents to fulfill audit requirements.

Two basic requisition forms are used throughout the University, both are pre-numbered and blanks are available in the Purchasing Office. They are (1) the Purchase Requisition Form – a four-part pre-numbered form and (2) the Travel Requisition Form (Appendix F). All requests for services, goods or travel must be submitted via these forms. When the Purchasing Requisition is submitted to a vendor for goods or services, it must contain the vendor's full name, address and zip code, name of contact person and telephone number. It must contain original authorizing signatures or designee, e.g., Dean, Chairperson, or Principal Investigator.

An authorized requisition will have a budget number, pre-assigned to each University component, included in the appropriate space. All requisitions, whether charged to restricted or unrestricted funds, follow the same basic procedure regardless of the nature of the request, which may include scientific or office equipment, furnishings, textbooks, rentals, leases, etc. Requests to be charged to unrestricted funds are submitted by the person initiating the requisition to the Budget Office, which must approve the request prior to its being forwarded to the Purchasing Office. Requests to be charged to restricted funds must be submitted to the Office of Grants and Contracts Accounting, which must approve the request prior to its submission to the Purchasing Office. When the total cost of a request may be charged to several and/or mixed budget numbers, e.g., restricted and unrestricted, the submission process then requires approval from both the Budget Office and the Office of Grants and Contracts Accounting before submission to the Purchasing Office. All requisitions are assigned a systems-generated sequentially numbered Purchase Order via the SCT BANNER administrative system.

Purchase Orders can be issued to vendors only through the Purchasing Office. The Purchase Order is the University's agreement to remit payment for goods and service ordered and received. ***Any goods or services ordered without such a number and without prior approval become the responsibility of the vendor and/or the person(s) initiating the request.***

The Travel Requisition is a three-part pre-numbered form, which is submitted as stated above. When travel advances are requested, the Purchasing Office verifies the accuracy of the request based upon the University's published policies and procedures. Upon completion of the initial process, the travel requisition is forwarded to Accounts Payable, which prepares and releases a check to the traveler. After travel, the requestor completes the Travel Requisition and attaches original receipts to substantiate the expenses delineated. If the requestor is due additional monies, the Purchasing Office totals all costs and subtracts the Advance to arrive at the amount due the traveler. The Travel Requisition and all receipts are forwarded to Accounts Payable and a check is prepared; the documents then become part of the Accounts Payable records that include both check copies.

Refunds on Travel Advances (which occur as a result of trip cancellation or less money required than advanced) are processed as above with a change in routing. The Purchasing Office substantiates receipts, etc., and the remittance/check must be made payable to Clark Atlanta University. The Travel Requisition with receipts is forwarded to Accounting, which makes a copy of the Travel Requisition and deposits the check. The

transaction is then recorded in the General Ledger to the affected budget number. Daily Cash Receipts will include the Travel Requisition to support the refund/deposit. The original Travel Requisition is submitted by the Purchasing Office to Accounts Payable and filed with a copy of the original check for auditing purposes.

Airline tickets or other forms of commercial carrier services are secured through the University approved travel agency via requisition. Tickets are delivered to the Purchasing Office for distribution to the University community.

Purchases charged against University funds that are not made in accordance with policies as stated in this manual will be the personal responsibility of the individual placing the order. The University will not assume any financial responsibility for the purchases.

2.2.1 TRAVEL ADVANCES

Travel advances may be made to employees of the University in an amount equal to the anticipated costs of the trip, less air fare or registration fees paid directly by the University. Travel advances should not be requested when the total expenses will not exceed \$50. The Travel Requisition Form is used to request advances.

The same Travel Requisition Form used to obtain authorization to travel shall be used by the traveler to complete the section on the form for actual expenses incurred during the trip. All receipts must be attached to the form and routed to Purchasing, General

Accounting and Accounts Payable for credit for reimbursement within seven days after travel has been completed. The Purchasing Office and General Accounting Office will review the completed form for compliance with these policies.

2.2.2 REIMBURSEMENT FOR TRAVEL EXPENSES

All University-related travel must be authorized by the Department Head, the Project Director (for restricted programs) and Area Head before the travel is to begin. Their approval on the Travel Requisition Form (Appendix F) certifies that the trip is proper, necessary and within the scope of the budget so charged. *A Travel Requisition Form must be completed for all University travel for which reimbursement is expected.*

Airline reservations should be made by the traveler using the University's authorized travel agency. Once the completed Travel Requisition Form has been submitted to Accounts Payable, the University's purchasing agent will be notified so that the airline reservation may be confirmed via issuance of a purchase order number.

Failure to complete this process within thirty (30) days after completion of travel may result in the following actions:

1. The travel expenses may not be reimbursed.
2. The full amount of any travel advance received will be deducted from the employee's next paycheck.

2.3 BUDGET PLANNING

Clark Atlanta University has developed a comprehensive system of budget preparation and in-depth planning as an integral part of its annual budgeting process. Responsibility for the preparation and execution of the budget plan is a joint effort between the Budget and Planning Committee of the University Senate, the Office of Finance and Administration, the Provost and Vice President for Academic Affairs, Deans, Area and Department Heads, the University Senate, and the President. The Budget and Planning Committee consists of members of the faculty, staff and student body. Minutes of the committee meetings are maintained in the office of the Assistant Vice President for Financial Planning & Evaluation.

2.3.1 COMMITTEE ON BUDGET AND PLANNING

The role of the Committee is to make recommendations about the major parameters of the budget that establish the broad priorities, which govern the use of the University's resources.

The Committee on Budget and Planning shall consist of:

1. The Provost, who shall be its Chair.
2. The Vice President for Finance and Administration.
3. Six members of the faculty, including the Chair of the Faculty Assembly, and at least one non-tenured member of the faculty.

4. The President of the Staff Assembly.
5. Vice President for Planning, Assessment and Research, who shall serve as Executive Secretary.
6. Two students, one undergraduate and one graduate, appointed by the Student Government Association.

Meeting with the Committee, but without vote, shall be the Vice President for Institutional Advancement, Assistant Vice President for Financial Planning & Evaluation, Vice Provost, Associate Provost(s), and the Director of Title III. The President of the University shall sit with this Committee as President's schedule permits.

Members of the faculty are appointed to a term of three years, with the terms for two members to be completed each year. Other members of the Committee shall also be appointed with a regard to the continuity of the Committee's membership.

The University Senate and the Committee on Budget and Planning shall review preliminary budget projections upon receipt from the Assistant Vice President for Financial Planning & Evaluation.

2.3.2 BUDGET ADJUSTMENT REQUESTS

From time to time, it may be necessary to recommend a revision in a line item of a program's approved budget – whether from restricted or unrestricted funding sources.

Requests for such revision require two separate steps:

1. The approval of the appropriate official(s) of the University.
2. The approval of an external funding agency as required.

In all instances in which approval of an external funding agency may be required, the approval of the official(s) at the University must precede a request for approval by a funding agency. Requests for modifications in budgets should follow the standard budget adjustment process as follows:

1. The Department or Unit Head completes a Request for Budget Revision Form (BRF) (Appendix G) with the appropriate information and submits the form to the Area Unit Head or Dean, as appropriate.
2. The Dean or Unit Head reviews the request, approves/disapproves the request, signs the form, and submits the request to the Budget Office for unrestricted accounts or the Office of Grants and Contracts Accounting for restricted accounts.
3. The appropriate Vice President indicates final action and submits a copy of the executed form to the Budgets Office and to the appropriate Department Head.

2.4 PETTY CASH FUNDS

The practice of petty cash disbursements from the Cashier's Office is prohibited. Reimbursement for expenditures formerly processed through petty cash should be submitted using a Purchase Requisition, or a check request may be submitted accompanied by original receipts for such expenditures.

2.5 PURCHASING FROM EMPLOYEES AND FAMILY MEMBERS

The University's policy is not to purchase materials or services from University employees or immediate family members. In this way, the University is protected from being involved in conflict-of-interest situations.

If, however, it is essential to purchase materials or services from University employees, or from companies in which any University employee or close relative may have a major interest, a request should be submitted in writing to the Purchasing Department for review. Ultimate approval of such is granted by the Vice President for Finance and Administration or the President. Under certain circumstances, it may be necessary for approval by the Board of Trustees.

University policy prohibits the Purchasing Department from entering into any purchase agreements for personal use of employees. All materials purchased by the University on official Purchase Orders remain the property of the University.

Exceptions to this policy are items purchased explicitly for retail sales, such as items handled by the University Bookstore. All Purchase Orders issued by the Purchasing Department must be for official use by University departments.

2.6 REQUEST FOR LEASE OR RENTAL

The request/requisition for rental and leasing must include the written agreement from the proposed vendor. This applies to any procurement request including those for copiers, computers, and other equipment. The Purchasing Office will review the request and grant approval only when there are circumstances justifying lease over purchase.

2.6.1 RENTAL AGREEMENTS

Rental agreements are similar to lease agreements, except that rental agreements are normally for an indefinite period and can be terminated by the renter after giving notice, usually thirty (30) days in advance. Rental requests should be submitted to the Purchasing Department on a Purchase Requisition Form with an explanation justifying the need for rental, a copy of the rental agreement, and any other communication authorizing the request.

2.6.2 LEASE AGREEMENTS

Lease agreements differ from rental agreements in that the former is a commitment to pay monthly payments (in addition to other stipulations, such as paying taxes and insurance premiums) over a stated period of time. Terminating a lease can result in a substantial outlay of cash from the University to cover the remaining payments due under the lease agreement. Requests for leasing shall also be communicated on a purchase requisition along with appropriate documentation, if any, for evaluation by the Purchasing Office.

2.7 PURCHASING POLICY

Purchasing Policies and Procedures, including the “Conflict of Interest Policy”, are detailed further in the Purchasing Policy and Procedures Manual, August 2005.

The Purchasing Policy and Procedures Manual, August 2005 governs in the event there is a conflict between the Administrative Policy and Procedure Manual, January 2006 and the Purchasing Policy and Procedures Manual, August 2005.

III. RESEARCH AND SPONSORED PROGRAMS

3.0 PROPOSALS TO GOVERNMENT AGENCIES

All proposals for research and sponsored programs must be submitted to the Office of Research and Sponsored Programs (ORSP) for review prior to submission to a potential sponsor, using the Proposal Routing Sheet Form (Appendix H). Adherence to required processing lead time is essential (see Section 4.1 and 4.1.1). Should a situation arise where limited time is available for proposal preparation, processing and submission, all University offices involved should be alerted to the situation as early as possible. Questionable areas or matters should be coordinated in draft form, prior to preparation of the formal proposal, to minimize the possible need for a proposal revision.

All proposals for sponsored research, training, or public service endeavors must be submitted through established channels, as indicated on the Proposal Routing Sheet, for coordination and approval.

This policy is in no way intended to discourage preliminary discussions of program objectives or project scope. However, during such discussions, no unauthorized commitments should be made relative to financial arrangements and/or cost-sharing. Securing cost-sharing funds is the responsibility of the Principal Investigator. ORSP does not find or track cost-share funds. Cost-share funds must be in place before any award can be approved or funds expended. Valid commitments can be made only through established University procedures.

3.1 ESTABLISHING BUDGET CODES FOR RESTRICTED FUNDS

After a project is funded, the proposed budget for a restricted government-sponsored program must be approved by the Office of Research and Sponsored Programs (ORSP). For nongovernment restricted programs, approval should be granted by the appropriate Vice President. This budget approval will be documented using Form 405 – CAU Approved Restricted Budget (Appendix I).

To facilitate this process, Form 405 is completed by the Principal Investigator and submitted to the ORSP Office of Grants and Contracts Administration. Upon approval of Form 405 the Office of Grants and Contracts Administration then submits Form 405 along with the award notice and contract documents to the Office of Grants and Contracts Accounting. After verification by the Office of Grants and Contracts Accounting, the budget is established.

After the account has been approved, the Office of Grants and Contracts Accounting shall notify ORSP, the Principal Investigator and the Project Director regarding the budget code for future use.

3.2 BUDGET REVISIONS FOR RESTRICTED PROJECTS

Generally, only substantial budget revisions for restricted projects must be approved in advance by the sponsoring agency. The contract terms dictate the manner in which budget revisions may be executed. Revisions may occur for a variety of reasons. Examples include: actual line item expenditures that may exceed or fall short of budget; contract amendments; or de-obligation of funding (i.e., budget reduction) made by sponsoring agency (usually governmental contracts).

For budget revisions, the approved revised budget (using the Request for Budget Revision Form) must be submitted to the ORSP and then to the Office of Grants and Contracts Accounting (OCGA). The revised budget will be posted to the general ledger system after verification for proper signatures and compliance with accounting guidelines by the OCGA.

The Request for Budget Revision Form must be signed by the Principal Investigator, the Director for Research and Sponsored Programs, and the Manager of Grants and Contracts Accounting.

3.3 PROJECT IMPLEMENTATION

Project implementation begins with the University's formal acceptance of an award.

Awards to the University may be accepted by the Office of Research and Sponsored Programs, the Provost or the President or those to whom signatory authority has been delegated. Generally the ORSP will sign contracts and grant awards for the University. No other individuals are authorized to commit or otherwise bind the University unless specifically delegated to do so by the President.

In some cases, before an award is made to the University, it is necessary to negotiate and finalize contract/grant terms, scope of work, understanding on proposed expenditures, billing and financial provisions, or contract/grant amounts. Negotiations of this nature are to be conducted through ORSP.

The OCGA (a component of Finance and Administration) provides Directors and Principal Investigators with the financial information necessary to effectively manage the sponsored project and comply with the terms of the agreement. Additionally, the OCGA monitors financial reports for unfavorable conditions or trends, interfaces with the awarding or auditing agencies regarding problems, and prepares financial billings and reports.

Project Directors and Principal Investigators have the primary responsibility for conducting the sponsored project in accordance with award terms and conditions and within the funds awarded for the project.

Deans, Directors, and Department Chairs have the responsibility for assuring all sponsored research and training conducted within their jurisdiction are consistent with University policy and the available funds.

3.4 MONITORED WORKLOAD

Time and effort certification for payroll distribution purposes is required. The Office of Grants and Contracts Accounting is responsible for collecting, reviewing and maintaining the official file of these reports. The reports confirm, on a best-judgment basis, the percentage distribution of effort for the period reported and serve to substantiate professional salary and wage charges to Federal grants and contracts.

Certification reports should be submitted within ten (10) working days after the report period on a semi-annual basis for staff and at the end of each semester for faculty. Verifications for students should be done on a semi-monthly or monthly basis. It is required that the certifications be signed by the faculty or staff member or student affected and/or a person who has a personal knowledge or sufficient verification as to the services performed on each research agreement.

All significant charges (more than 5%) in time distribution must be reported on the time/effort certification promptly to the ORSP. ORSP will approve and forward to the Office of Grants and Contracts Accounting and then to the Payroll Department. Necessary changes are required to be promptly effected, normally within thirty (30) days.

Retroactive changes must give full consideration to previous certifications on file, and must be documented and explained in a manner, which unequivocally substantiates the propriety of the adjustment.

3.5 OWNERSHIP OF EQUIPMENT

Property acquired through research or training awards becomes University property upon completion of most awards. Disposition or transfer of such property after completion of the award is subject to University policies.

3.6 COST-SHARING: GENERAL

Under a cost-sharing arrangement the University agrees to absorb, from funding sources acceptable to the sponsor, a specified percentage of the total project costs. Such agreements are binding on the University and if not fulfilled can result in de-obligation of sponsor funding or possibly cancellation of the award. Cost-sharing obligations must be assumed only after careful consideration of their present and future financial impact.

Cost-sharing from a sponsoring agency viewpoint, and as used in its broadcast sense, includes any agreement on the part of the University to assure that nonsponsor resources are contributed to a project, either from sources within or external to the University.

To be considered acceptable as Federal cost-sharing or matching costs, contributions to a project:

- Must be verifiable from the University's records. Therefore, documentation is essential.
- Must not be included or otherwise counted as contributions for any other federally assisted program.
- Must be necessary and reasonable for proper and efficient accomplishment of the project objectives.
- Must be charges allowable under applicable cost principles.
- Must not be charges to the Federal Government directly or indirectly under any other grant or contract.

The cost-sharing policy is detailed more fully in Appendix J.

3.7 PROPOSALS TO GOVERNMENT AGENCIES: COST-SHARING

Specific cost-sharing aspects or requirements and their potential impact on the University must be carefully delineated and evaluated. Cost-sharing requirements must not be accepted merely to obtain an award if there is uncertainty as to the ability of the school, department or center to fulfill its obligation.

3.8 AUDIT AND AUDIT REPORTS

The Office of Grants and Contracts Accounting is responsible for coordinating all audit matters relative to sponsored research, training and public service activities of the University.

Federal, state and public firm auditors have been requested to make initial contact with this office when conducting periodic audits or special inquiries relative to grant and contract matters.

The Manager of Grants and Contracts Accounting is responsible for coordinating the University's response to those audits concerned with sponsored research, training and public service awards. This responsibility in no way relieves the Principal Investigator or department concerned from providing necessary input in a timely manner, or from resolving financial liability which may ultimately be assessed as a result of any audit exceptions.

Established University policy is that financial responsibility for audit disallowances, which may be ultimately sustained rests with the department, school, or center having primary responsibility for the project on which costs are questioned. It is expected that disallowances will normally be handled from discretionary University funds, which may be available to the Principal Investigator, department, school or center. Personal liability may be considered and assessed should circumstances indicate an audit disallowance stemmed from a result of gross negligence or malfeasance on the part of an employee or staff member.

3.9 PROPOSALS TO GOVERNMENT AGENCIES: INDIRECT COST

Indirect cost, frequently referred to as overhead, represents a substantial financial outlay on the part of the University. The recovery of indirect costs is essential. Established overhead rates must be included in every proposal unless an alternative rate or exemption has been clearly established through existing policy. Use of less than the established rate in other instances must be approved in advance by the Dean for Graduate Studies and Research and Sponsored Programs, the Provost and Vice President for Finance and Administration.

3.10 SHARING INDIRECT COSTS ON DOMESTIC RESEARCH PROJECTS

In order to provide incentives to academic units to seek sponsored grants and contracts for research projects only, the University will allocate indirect costs on programs funded since September 1997 in the following manner:

1. Eighty percent (80%) of the indirect cost will go to general administration in support of unrestricted budget expenditures.
2. Five percent (5%) will be used to support the Office of Research and Sponsored Programs.
3. Fifteen percent (15%) of the indirect cost will go to the school and the academic department(s) or area(s):
 - Sixty percent (60%) of this amount will go to the school or equivalent unit
 - Twenty percent (20%) of this amount will go to department or area
 - Twenty percent (20%) of this amount will go to the Principal Investigator to be used for purposes other than for the salary of the investigator.

These funds will be allocated to the school/department on a semi-annual basis utilizing a request for Budget Revision Form, as the indirect costs are earned.

These funds are to be used to enhance the programs of the academic units. Each unit is required to establish specific plans for using these funds. These funds may be used for new equipment, equipment repair, building repairs and renovations, and faculty development. The funds may not be used for supplemental salary payments, internal consulting payments, or any personal expenses. Proposals for the use of these funds may be approved through a Request for Budget Revision Form (BRF) (See Appendix G).

IV. FUNDRAISING AND MARKETING & COMMUNICATIONS

4.0 CHARITABLE CONTRIBUTIONS

The University's policy for charitable contributions indicates that donations or contributions, which conform to the Internal Revenue Service definition as defined in the Internal Revenue Code, Section 170, may be accepted. All contributions shall be made payable to Clark Atlanta University.

A donation is not considered a charitable contribution when such is made expressly for the purpose of paying a particular individual's tuition and fees. Conversely, scholarship donations made to the University for which the University has the discretion for making awards to students may be considered a charitable contribution.

4.1 PRIVATE SECTOR SOLICITATIONS AND PROPOSAL APPROVALS

The Vice President for Institutional Advancement in the Office of Institutional Advancement and University Relations (IA&UR) shall be contacted prior to any initiation of contact with the private sector (i.e., corporations, foundations, organizations and individuals). All proposals to the private sector for external funding must be cleared for submission using the University's Proposal Approval Form (Appendix G). This policy ensures that:

1. The integrity of the University's general programs is not compromised.
2. The proposal is properly priced and does not inappropriately commit the University financially.

3. The proposal is complete and accurate with appropriate legal and technical information.
4. The proposal is fully supported by the commitment of the University.
5. The proposal complies with University short- and long-range plans.

The Office of IA&UR maintains a master log of proposals and prospect solicitations and is responsible for tracking and providing clearances for all private sector solicitations initiated by the University. This master log is reviewed every six months; where no cultivation activity has occurred or been planned, after checking with the appropriate Dean or person making the initial solicitation, the prospect will be released for another purpose. Copies of all correspondence related to the cultivation and solicitation of corporate, foundation, organization, and individual prospects should also be sent to the office of IA&UR.

4.1.1 PROPOSAL APPROVAL PROCEDURES

A Proposal Approval Form can be secured from the Office of IA&UR. This form must be completed by the Project Director and submitted with the complete proposal document to the following persons in sequential order for review and approval signatures:

1. Department Chair
2. Dean
3. Vice President for Institutional Advancement and University Relations
4. Vice President for Finance and Administration and Chief Fiscal Officer

5. Provost/Vice President for Academic Affairs
6. President

Each person in the sign-off process reviews the proposal from a different perspective. The Department Chair, Dean, and Provost review the proposal for consistency in department/school goals and objectives along with CAU's capacity to deliver required services. Content appropriateness is also assessed. The Vice President for Finance and Administration and Chief Fiscal Officer reviews the budget estimates and commitment of financial and physical resources (if any) for appropriateness.

All proposals require the final approval of the President. In the President's absence, the Provost or Vice President for Institutional Advancement and University Relations may sign funding proposals as the authorizing University Officer for external support from private sector sources. For public sector proposals, the authorizing University Officer is the Provost.

The above process, coordinated through IA&UR, will take no longer than five (5) working days.

4.1.2 RECEIPT OF FUND-RAISING PROCEEDS

All fund-raising proceeds from the private sector will be submitted directly to IA&UR for daily cashier processing in Banner prior to being transferred to Accounting for journal entry and deposit. The cash, check, credit card, donor correspondence and other appropriate documents shall be forwarded to IA&UR immediately upon receipt.

Upon receipt of the fund-raising proceeds by IA&UR, the donor will be acknowledged and the gift will be recorded. IA&UR will verify account numbers for proper assignment then forward the Banner generated Gift Transmittal ADPFEEED Report (See Appendix K), cash, check, credit card and donor correspondence to the Cashier's Office of Finance and Administration.

4.1.3 ANNOUNCEMENT OF AWARDS

The University's policy on announcing awards and donations requires notification to the Office of IA&UR of all private sector gifts and grants. This office will coordinate through the Vice President for Institutional Advancement and University Relations an appropriate announcement of CAU's awards, both internally and externally.

Some corporations and foundations prefer to remain anonymous. Others will release their own announcements of grants and encourage their recipients to make announcements of the awards as well; usually, the donor organization will request that announcements be cleared in advance of release.

Faculty and staff employees are not allowed to make public announcements of gifts and grants unless expressed permission is given by the President and/or the Vice President for Institutional Advancement and University Relations.

4.1.4 NAMING CAMPUS FACILITIES

Occasionally, CAU may honor certain individuals, corporations, foundations, or other organizations by naming campus building, rooms, and/or specific campus locations, such as the quadrangles and the promenade, in response to gifts or other outstanding contributions. Only the Board of Trustees has the sole authority (in one of its official meetings) to name any campus facility in honor of any individual, company, foundation or other organization.

4.2 USE OF GIFTS FOR FINANCIAL AID AND SCHOLARSHIPS

The University offers a substantial program of financial aid and scholarship support to its students. Financial aid is based primarily on the determination of economic need. Meritorious achievement is also considered. Scholarship programs include academic, athletic and talent awards.

Clark Atlanta University welcomes gifts that can be used for financial assistance for endowment support and contributions to the annual scholarship fund.

4.2.1 ENDOWMENT SUPPORT

Clark Atlanta University's endowment is managed in trust as a single portfolio. The income from a gift of endowment restricted to a scholarship will be determined by the performance of the endowment portfolio as a whole, by the Board of Trustees on an

annual basis. It should be noted that, gifts to endowment restricted to scholarship cannot be managed as a separate portfolio to earn a rate of return higher than the general endowment, in that the cost of managing a relatively small portfolio apart from the general endowment would substantially reduce the effective return of that portfolio.

The endowment fund manager is paid a fee for managing our endowment and this must be deducted from income. Only the interest and earnings based on total return concept will be used for the scholarship unless otherwise designated by the donor.

General Endowed Scholarships

Any gift to endowment that is less than \$25,000 in value will be accepted without further restriction placed by the donor. Revenue earned through the gift's investment in the endowment portfolio will be disbursed annually in the same manner in which revenue from general endowment restricted for student financial aid is disbursed, and the financial aid award will bear no name other than general student aid.

Naming Endowed Scholarships

Any gift to endowment that is \$25,000 or greater in value will be accepted with additional restrictions placed by the donor, provided that the number and nature of the restriction are reasonable and acceptable to Clark Atlanta University. Revenue earned through the gift's investment in the endowment portfolio will be disbursed annually as student financial assistance, and any scholarship awarded from this revenue may bear a specific name as selected by the donor.

The general guidelines for endowments are as follows:

1. Gifts totaling a minimum of \$25,000 will be required to establish an endowment fund.
2. Gifts totaling less than \$25,000, but more than \$15,000, may be classified as an endowment fund upon approval of the President of the University if future additions to the fund are anticipated. Donors have up to a maximum of five years to complete the minimum endowment threshold. The investment value of all undercapitalized endowment funds shall be allowed to accumulate, without any spending from them, until the value of the account reaches \$25,000. If the minimum is not attained during the allowable period, the accumulated funds will be distributed in accord with the donor's request or the funds will be added to the general scholar fund and the donors will be recognized.
3. Endowed funds may be "named."
4. Each endowment fund will have specific guidelines detailing the purpose of the endowment. A memorandum of understanding that has been mutually agreed upon by the donor and the Board of Trustees will be developed prior to acceptance of the endowment gift.
5. All endowed funds will remain with the University in perpetuity unless specifically stated in the memorandum of understanding.

4.2.2 CONTRIBUTIONS TO THE ANNUAL SCHOLARSHIP FUND

Clark Atlanta University also welcomes contributions to the annual fund in support of its scholarship program. Any amount may be contributed in support of the student financial assistance program. Such funds will be pooled with other scholarship funds available to the University and extended in the year for which funds are given.

A donor may give the funds in the following categories:

1. With no restrictions other than “these funds are to be used for Clark Atlanta University’s Scholarship Program” or
2. With restrictions of various types which are acceptable to the University as determined by the President.

Clark Atlanta University prefers to receive contributions to its annual scholarship fund with no restrictions so that it has the flexibility to award the funds in such a way that the most effective use can be made of all of the scholarship and financial aid funds available to the University.

It should be noted that in accordance with generally accepted accounting principles and IRS guidelines, a gift to the University designated for scholarship may only be classified as such provided that Clark Atlanta University makes the final determination to the receipt of the scholarship. Monies are receipted into Agency Funds. No credit for a gift to Clark Atlanta University can be given for monies advanced for agency scholarships.

4.3 ALUMNI ASSOCIATION

The University’s Alumni Association plays a key role in increasing the national and international stature of the University, in supporting the University financially, and in the area of student recruitment. The Association serves as a vital link between CAU and its graduates. CAU has established a National Alumni Association through which various

local chapters are formed. The CAU Alumni Affairs Office provides overall support to the Alumni Association and its chapters. The CAU Alumni Association and chapters are governed by the Bylaws of the Association. The Association, with assistance from the Alumni Affairs Office, is responsible for maintaining and updating the Bylaws.

4.3.1 GOVERNANCE OF ALUMNI ASSOCIATION CHAPTERS

The Association has established general operating guidelines for the Alumni Chapters. The minimum requirements for starting a chapter are indicated below:

- Seven persons are needed to form a Chapter.
- Chapters should have regular meetings
- Chapters should have the following elected officers, President, Vice President, Secretary, Corresponding Secretary, Treasurer, Assistant Treasurer, and Chaplain.

4.3.2 GENERAL ALUMNI AFFAIRS FUND RAISING GUIDELINES

All Fund raising activities involving alumni should be approved in advance by the Senior Director of Alumni Affairs and the Vice President of Institutional Advancement and University Relations. Solicitations to corporations and foundations are forbidden by alumni unless the proposed solicitation has been cleared by the Senior Director of Alumni Affairs and the Vice President of Institutional Advancement and University Relations.

All contributions from alumni should be made payable to CAU unless otherwise approved by the Vice President for Finance and Administration.

4.3.3 CIRCULATION OF ROSTER OF ALUMNI NAMES

Mailing labels or rosters of alumni may not be sold or given to any organization without permission from the Senior Director of Alumni Affairs and Vice President for IA&UR. Mailing labels may be provided to local chapters, but only for those alumni within the requested geographical location.

4.4 UNIVERSITY RELATIONS/MEDIA AND PUBLIC RELATIONS

The Office of Marketing & Communications in the Division of Institutional Advancement & University Relations is responsible for gathering and disseminating news and information about the University and its constituencies both internally and externally. The office is also responsible for coordinating all marketing and promotional activities of the University, including enforcing the University's visual identity program and developing major University publications.

All news and activities should be reported as soon as possible to the Office of Marketing & Communications for the purpose of dissemination through the appropriate internal and external vehicles. Dissemination of any news, information and announcements about the University's programs, activities and personalities (including news releases and special

event, public service and new appointment announcements) is prohibited without the express approval of the Office of Marketing & Communications. All media inquiries should be reported to the Office of University Relations immediately. *Employees of the University are prohibited from contacting or holding conferences with representatives or reporters of the media (newspaper, television and radio stations, publications, etc.) without prior approval.*

Information for events to be publicized externally must be communicated to the Office of Marketing & Communications at least three weeks prior to the event or activity (four weeks for Public Service Announcements and advertisements). Information may be reported by phone, but preferably in writing or by email.

4.4.1 UNIVERSITY RELATIONS/PUBLICATIONS REVIEW AND APPROVAL

The Office of Marketing & Communications is responsible for the production of all major University publications to be distributed externally, including all recruitment, marketing and promotional materials. The Office ensures that all printed materials communicate the University's message, image and visual identity accurately and in accordance with the University's mission and standards of quality.

The Office also provides writing, editing and creative consulting on a limited basis to the entire University community on a first-come, first-served basis with priority given to requests from the President's Office, Division of Student Affairs and Division of Institutional Advancement & University Relations.

All printed materials carrying the University's logo, seal, mascot or other official symbols of identity must be approved by the Office of Marketing & Communications prior to printing. Printed materials are subject to corrections and changes based on the policies and procedures expressed in the University's visual identity program, mission statement, and other administrative policy and procedure manuals and guidelines.

A Comprehensive Guide to Media Relations, Publications, Printing and Other Related Services is available upon request from the Office of Marketing & Communications.

4.4.2 OFFICIAL SPOKESPERSON FOR CAU

The Chairman of the Board of Trustees and the President are the official spokespersons for Clark Atlanta University. In their absence, the Senior Director of Marketing and Communications, who acts also as the designated University Protocol Officer, may speak on behalf of the University. In the Senior Director of Marketing and Communications' absence, the Vice President for Institutional Advancement & University Relations or Jennifer Jiles shall speak on behalf of the University. Without the prior express and/or written permission from the President, no other person may speak in an official capacity for the University.

4.5 REQUEST FOR PHOTOGRAPHIC SERVICES

All photo services are outsourced with external contract vendors.

4.6 UNIVERSITY PUBLICATIONS

The University, through its Office of Marketing & Communications, publishes several documents designated to disseminate news about the University, calendar of events, fund raising/promotional materials, etc. The policy communicates the standard University publications and frequency of print.

A description of University publications is as follows:

Monthly Campus Calendar: Monthly publication of upcoming events and activities, distributed at the end of each month.

Clark Atlanta University Magazine – ‘Connections’: Printed three times annually and disseminated to alumni, donors, and friends of the University.

The President’s Annual Report: An annual publication of the year’s accomplishments, plans, etc. of CAU by the President.

4.6.1 PUBLICATION REQUEST

Procedures for planning and attaining a publication or printed piece are as follows:

- Make an appointment to meet with a representative of the Marketing & Communications Office to discuss the publication at least eight weeks prior to the time that the finished product is needed.

- Be prepared to provide the following information: purpose, audience, number of copies required (based on actual and predetermined need), and necessary delivery date.
- After a discussion regarding the concept and plans, the client will be provided with an application form to be signed by the appropriate supervisor.
- If photographs or other illustrations are required, these should be discussed during the initial contact meeting with the Marketing & Communications Office so that a selection from the University files may be assembled or assignments planned. If photographs or illustrations are to be provided by the department, the Marketing & Communications Office will make the final determination as to their suitability for publication.
- During each step of production, the client will be asked to initial the proposed design, proofs of the type, and the final paste-up or blue-line proof prior to actual printing. Please remember that in the interest of efficiency and economy, changes in copy, design and photographs are to be made before the material goes to the printer. Changes suggested after the material goes to the printer will be subject to approval by the Publications Office.

The eight weeks' advance notice is highly desirable for achievement of a quality, highly representative publication. Should there be unforeseen circumstances which require a publication in less time, every effort will be made to meet the needs. However, no guarantees can be given.

4.6.2 REQUESTING MEDIA COVERAGE

Request for coverage should be made in writing and sent to the Marketing & Communications Office at least two weeks prior to the event. The requester should provide sufficient detail on the form to enable the Marketing & Communications Office to understand the nature of the release.

In making requests, persons should be prepared to give basic information, e.g., who, what, when, where, why, and a contact name and phone number (on and off campus). Once all the information is compiled, the Senior Director of Marketing and Communications has the responsibility of releasing the information by way of news release, media advisory, public service announcement or feature story, and for following through in placing news items in appropriate media outlets.

News items are released by the Senior Director of Marketing and Communications only on official CAU media relations/news release stationery.

4.6.3 INTERNAL PUBLICITY

In some cases, reporters will call directly on a faculty member or administrator for a quote or interview to be included in a story not associated with the University. This is usually because a reporter needs an authority on a particular subject. Usually, the reporter knows the person and has developed a good rapport with him/her. In this instance, it is the faculty member's responsibility to let the Senior Director of Marketing and Communications know that he/she has granted an interview. However, if the subject is of a sensitive University related matter, he/she should direct the reporter to the Senior Director of Marketing and Communications for follow-through.

Unless otherwise permitted by the President, the Provost, Vice President for Institutional Advancement & University Relations and the Senior Director of Marketing & Communications and all others, should delay comments to the media until the President becomes available.

4.6.4 EXTERNAL PUBLICITY

Information for events to be publicized externally must be submitted (in writing) at least two weeks before the event (three weeks for Public Service Announcements). This is necessary in order to meet the deadlines of various media outlets.

4.7 SPECIAL EVENT PLANNING PROCEDURES

1. Appropriate budget approvals are required prior to confirmation of any event.
2. Confirm the date(s) of the event with the Special Events Coordinator.
3. Inform the Special Events Coordinator of all pertinent details associated with the event.
4. Allow time to plan the event. Take into consideration the following:
 - Draft, order, print and mail invitations
 - Reserve appropriate space
 - Develop the program and communicate the program participants
 - Develop menu (if applicable)
 - Develop public and media relations needs
 - Establish equipment needs and delivery dates
 - Identify requirements for security

When a decision has been reached to schedule an activity, a call or visit should be made immediately to the Special Events Office to determine, on a preliminary basis, the availability of the date and time. The Office of Special Events will maintain a current Institutional Calendar and will provide the caller with information on currently scheduled activities so that an informed decision can be made on the feasibility of scheduling the planned event. If the date is acceptable to the caller, and does not conflict with any already-scheduled University-wide event, it is then cleared by the Special Events Office. Also, an event to be held in a University facility will not be added to the Institutional Calendar until a copy of the approved Request for Use of Facilities Form is received.

4.7.1 SCHEDULING OF SPECIAL EVENTS

All events to be held in CAU facilities will require the completion of a Request for Use of Facilities Form. The form is available in the Special Events Office, the Student Activities Office, and Facilities & Operations Office. The form must be completed and submitted at least seven (7) working days before the event to allow appropriate time for notification of security, Facilities and Operations, Marketing & Communications Office, Special Events registration, and Food Services, where necessary.

The Use of the Facilities Form will not be honored or processed without a date clearance notification by the Facilities & Operations Office.

In the event of requests made directly to the Office of Facilities & Operations by non-campus groups, the Office of Facilities & Operations will be responsible for date clearance through the Special Events Office before permission for use is granted. This procedure will assure that the needs of the University's are given preference.

4.8 INTERNAL PRINTING

Using the following procedures, CAU administrators, faculty and staff may submit printing requests to Internal Printing:

- Secure printing requisition from the Internal Printing Office. (See Attachment).
- Complete requisition indicating date of request and date needed.
- Include office or department name, chairperson, individual making request, telephone number, and account number to which this request is to be charged.
- Indicate number of copies needed and number of copies attached, as well as desired size of the product.
- Describe “special instructions” clearly, and/or contact Internal Printing to be sure the office is aware of the client’s needs.
- Proofread all documents before submitting request to avoid re-printing.
- Utilize electronic submission option.

Notification of Completion of Work

- As requests are made, they are logged in Internal Printing on a first come, first-serve basis.
- In most cases, simple copying assignments will be returned within a 48 hour period. (Simple Copying in this instance denotes copying from other

copy, with no more than 1,000 total copies i.e., 10 copies of 100 sheets; 5 copies of 200 sheets; 300 copies of 3 sheets; etc.)

- More sophisticated copying (newsletters, departmentalized stationery, special programs, brochures, business cards, and the like) require from 8 to 10 days, depending on the complexity of the assignment. Sophisticated copying requires typesetting, lay-out, and/or camera work involving negatives and plates before processing. In some instances, specific supplies have to be obtained.
- Upon completion of the assignment, the client will be notified via telephone and email when the work is ready and can be picked up.
- If for some reason the work will be delayed, or cannot be processed as requested, the client will be notified as soon as that determination is made.

Ensuring Printed Materials Reflect High Quality

The copy should be in good condition. Stapling or folding copy will jeopardize its effectiveness. Never affix copy with a paper clip, which may mar the image. Place it in a separate envelope and staple the envelope to an order form or cover letter if necessary. Make sure the copy is protected, perhaps by placing it between two pieces of cardboard which will eliminate the need for the printer to make repairs, for which the client may be charged, or the copy returned for repairs needed before printing.

The requestor's instructions should be clear. If there is any question about the placement of any elements of the design that is provided, make a sketch or write a clear description

of desired design layout. For example, should the logo be centered, moved toward the right margin, or above or below the typeset material? If there is no preference, and it is preferred that the Internal Printing Office arrange the elements, indicate this preference in the instructions.

If typewritten (preferred) or handwritten copy (please print, if handwritten) is provided, make sure the typesetter will know what should be abbreviated, capitalized, centered, or spaced in a particular manner. Again, a sketch can help, or notes in the margin of the copy. A certain typeface may be specified for consistency with the institution's logo or graphic identity.

V. GENERAL ADMINISTRATION

5.0 ISSUANCE AND RETURN OF KEYS

1. To protect the University's property and any personal property used in one's work, it is necessary to maintain strict control of keys. Each person assigned a key agrees to the following terms:
 - a. Will not lend the key to anyone else;
 - b. Will not duplicate the key;
 - c. Will report its loss immediately to their Supervisor and the Director of Facilities;
 - d. Will return the key to the Director of Facilities when it is no longer required for the performance of University duties.
2. Keys are issued for all campus buildings by the Director of Facilities upon approval of the Dean or Administrative Officer concerned.
3. No charge is made for the initial issue of duplication of a key unless extensive work is required. An employee will be charged a small fee for lost keys. A broken key is replaced with a new key upon presentation of the broken key to the Director of Facilities.
4. All requests for key and lock changes must be in writing. A note directed to the Director of Facilities is adequate.
5. Upon termination of employment, all keys must be returned to the Director of Human Resources, who will forward them to the Director of Facilities.
6. Keys are not allowed to be issued to students, except in special circumstances.
7. Master keys will be issued to deans and vice presidents as needed.

Upon termination and as part of an employee's Exit Interview with the Human Resources Department, the key(s) must be returned to the Human Resources Department before a final check will be issued.

5.1 LEGAL SERVICES

Only the President or General Counsel has the authority to engage outside counsel for legal matters relating to any aspect of University operations or business.

Any matter of a legal nature coming to the attention of an administrative head should be reported to the office of the General Counsel in writing. Legal matters coming to the attention of any other employee of CAU should be directed to their department head, who in turn will communicate the matter to the General Counsel. The General Counsel is the Chief Legal Officer for the University, and in such capacity, advises and consults the Board of Trustees, as well as Administrative Officers of the University.

The Office of the General Counsel defends the University in litigation in both federal and state courts and before administrative bodies; pursues litigation on the University's behalf; assist in collection of delinquent student accounts; reviews, negotiates and drafts contracts; handles estate matters; advises the University Community Development Corporation ("UCDC"); consults and advises on certain intellectual property matters (i.e., copyright, patent and trademark issues); oversees state and federal inquiries and internal probes; and provides general corporate advice and counseling and provides written legal opinions when appropriate.

The Office of the General Counsel shall develop and update, when appropriate, standard legal contracts such as, but not limited to:

- Lease agreements for the University rental property
- Student housing contracts
- Consultant contracts, etc

Along with developing and updating contracts and agreements, General Counsel should review all major contracts (those with a value of \$10,000 or more) that the University expects to pursue. This will ensure that the University's interests are protected and liabilities are limited.

5.2 ON-THE-JOB INJURY

The University's worker's compensation coverage and the Occupational Safety and Health ACT (OSHA) require the maintenance of certain records. This policy establishes the procedure for reporting on-the-job injuries. The first report of any on-the-job injury should be submitted to the Human Resources Department.

An Accident Report Form is completed by the immediate supervisor and forwarded as follows:

1. Reportable Injury
 - a. Those injuries which require completion of Workers Compensational forms and Compensation forms and are reportable as part of the

Occupational Safety and Health Act (OSHA). These generally include:

- Fatalities;
- Lost workday cases; and
- No-loss workday cases requiring medical attention

- b. The Benefits representative will complete the proper Workers Compensation Claim Form(s), in the presence of the employee, if possible. The claim is forwarded to the University's insurance broker. An investigation will be initiated of the accident if necessary. The accident Report is made part of the employee's personnel file.

2. Non-reportable Injury

Those minor injuries, which are treated by first aid methods, and do not normally require professional medical attention, are not required to be reported.

5.3 SMOKING REGULATIONS

Recognizing its obligation to provide safe and healthy surroundings for students, faculty, staff and visitors, Clark Atlanta University will, to the extent possible, provide a smoke-free environment in all campus facilities.

1. Smoking is prohibited in instructional areas and learning centers, e.g., classrooms lecture rooms, auditoriums, conference rooms, laboratories, and the library.
2. Smoking is prohibited in those areas, which are officially and/or explicitly designated as "no smoking areas," e.g., auditoriums, indoor athletic facilities, computer facilities, elevators.

5.4 USE OF CAU FACILITIES

All events to be held in CAU facilities will require the completion of a Use of Facilities Form (Appendix L). The form is available in either the Facilities & Operations Office or Dean of Student Life Office. The form must be completed and submitted at least seven (7) working days before the event to allow appropriate time for notification of security, buildings and grounds, the University Relations Office, and food services, where necessary.

This procedure is established to provide for the orderly conduct of University business related to scheduling internal and external events in University's on and off campus facilities. Its purpose is to assure that events of University-wide significance are not scheduled at conflicting times and that University facilities are not, inadvertently, double-booked. The administration of these procedures will be shared between the Facilities & Operations Office, Office of Institutional Advancement and the Student Affairs Office.

All CLASSROOM SPACE is under the control of the Registrar at all times. Office and meeting space shall be controlled by the Provost, Vice President for Finance and Administration, and Assistant to President for Management Services. This group will collaborate on final determination on use of University facilities.

If the event is an off-campus activity, the date and event will be added to the Institutional Calendar and no further action is required. If the event is to be held in University facilities, the Office of the Dean of Student Life will be notified so that a Request for Use

of Facilities Form (Appendix H) can be submitted. Under normal circumstances a Request for Use of Facilities Form will not be processed until an event date is cleared through the University Relations Office. Also an event to be held in University facilities will not be added to the Institutional Calendar until a copy of the approved Request for Use of Facilities Form is received.

The Use of Facilities Form will not be honored or processed without a date clearance notification by the University Relations Office.

In the event of requests made directly to the Office of the Dean of Student Life by on-campus groups, the Dean's Office will be responsible for date clearance through the University Relations Office before permission for use is granted. This procedure will assure that the needs of the University are given preference, and will also serve to lessen the possibility of inadvertent over booking.

5.4.1 USE OF THE ASPACIO ATRIUM IN TREVOR ARNETT

The Aspacio Atrium, named for Hale Aspacio Woodruff (1900-1980) located outside the CAU Art Galleries, is the area where exhibitions and other University receptions are held. Permission and reservations to use the area must be obtained through the CAU Art Galleries Director's Office to determine the purpose of the function and to avoid conflicts in scheduling. Fees for usage will be assessed for requests from organizations outside the University. The area can accommodate 60-85 guests comfortably, not including the lobby area in front of the elevator. *Food and beverages are only permitted in the reception areas and cannot be taken into the art galleries.*

5.5 USE OF UNIVERSITY SEAL, LOGO, AND SYMBOL

The University owns all rights to the use of its name, seal, symbols, and other marks. Accordingly, any use of the University's name, seal, insignia, and other symbols shall be approved in advance by the Office of University Relations and the Office of Auxiliary Services, which enforces the University's visual identity program. Requests for proposed uses shall be submitted to the Office of University Relations. This includes such use as the University's name and symbols in selling T-shirts, cups, watches, and all other paraphernalia.

The University's seal, symbol and logo are its trademarks and use beyond what is permitted by this policy is prohibited and subject to legal action. Any commercial use is strictly prohibited unless authorized by the Office of University Relations, the Office of Auxiliary Services, and in some cases reviewed by General Counsel. Employees are strictly prohibited from altering the University's visual identity symbols in any way for any purpose.

5.5.1 THE UNIVERSITY SEAL

The official seal of Clark Atlanta University, as approved by the Board of Trustees is shown below.



TM

5.5.2 USE OF THE SEAL

The seal may be imprinted on University stationary, legal documents, transcripts and all graduation certificates and diplomas. The seal is primarily reserved for official use only. The seal is not appropriate for use as a readily recognizable graphic symbol in publications, advertisements, or printed materials that describe or promote the University or its programs.

5.5.3 THE UNIVERSITY'S LOGO

The official logo of Clark Atlanta University, as approved by the Board of Trustees is shown below.



5.5.4 USE OF THE LOGO

The logo is a visual symbol used to represent the University and should always be accompanied by Clark Atlanta University's name, the official logo of CAU, as approved by the Board of Trustees.

The logo is appropriate for use on stationery, business cards, advertisements and promotional materials. The following guidelines should be followed when using the logo:

1. The logo must appear on the front, back or title page of all publications and printed materials unless they are of an official nature, which calls for the use of the seal.
2. The logo must not be redrawn, reproportioned, or modified in form from the example above.
3. No other logo or symbol should be used to represent the University; or any of its schools, departments, offices, or programs.
4. Units of the University may be identified below the logo with character height no larger than half of the size of the name.
5. The logo of the University should serve only to uniformly and graphically identify the University as the source of a publication. The logo is not appropriate as a publications dominant cover design element.

5.5.5 THE UNIVERSITY'S MONOGRAM

The official monogram of Clark Atlanta University, as approved by the Board of Trustees, is shown below.



5.5.6 USE OF THE MONOGRAM

The monogram is a visual symbol used to represent the University and should always be accompanied by the University's name, unless otherwise approved by the Office of University Relations.

5.5.7 UNIVERSITY'S MASCOT SYMBOLS

Mascot symbols are important to the public image and self-esteem of the University. The Clark Atlanta University mascot is the panther.

The two versions shown below are the only acceptable versions. Either version (full head or full body) is acceptable, depending on the size and shape of the application.

These symbols should not be altered in any way and should be used only for informal applications.

When reproduced, the mascot should appear in a single color. Any color is acceptable although it is recommended that the color be restricted to the accepted red, gray or black of the University. Complete color specifications can be found listed under University Colors and Typography listed below.

Questions concerning the use of the mascot symbols should be directed to the Clark Atlanta University Office of University Relations.



5.5.8 USE OF IMAGES FROM THE ART GALLERIES' COLLECTION

For any faculty, staff, or student desiring the use of images from the permanent collection in either educational or commercial publications, permission (*and transparencies*) must be obtained by the Director of the CAU Art Galleries.

5.5.9 UNIVERSITY COLORS AND TYPOGRAPHY

Part of the strength of the Clark Atlanta University Visual Identification Program is derived from the consistent use of color and typography to project a professional image. The official colors of the University are *red and gray*. Black is acceptable as a secondary

color. The official red is PMS 186; the gray is PMS 432. In cases where gray is not available, black may be substituted. The University symbols should always be reproduced in these colors. In the rare instance when none of the official colors are available, the symbols should be reproduced in a single color only.

Clark Atlanta University uses several different typefaces for the Visual Identity Program. The monogram is a modified version of Bodoni Bold. The signature line is set in Augusta Extra Bold Condensed Agency. The type used in the seal is Triplet Bold Agency. Do not reset the type for any of these symbols. Use the reproduction provided for each of these symbols without alteration.

When choosing a supporting typeface for a Clark Atlanta University project, use discretion and choose one that will complement the various school symbols represented. For instance, the University stationery uses a classical type style known as Baskerville that fits well with the logo type and seal.

5.6 OFFICIAL UNIVERSITY STATIONERY AND THE USE THEREOF

There are only two types of official University stationery. The first is the general University stationery, which is to be used by all personnel when corresponding. This includes all university institutions, professional schools, departments, etc. The second one is the official University stationery of the President and the Board of Trustees.

General University stationery is designed for University-wide use. However, personnel, students, or others may not use the University's name when its use could be construed as implying institutional support and/or that endorsement has been officially authorized by the President. Specifically, stationery printed by the various University departments, schools, units, and institutes is prohibited. Instead, for special designation, the applicable departments, schools, units, or institutes may indicate as part of the document text the appropriate name of the department, school unit, or institute originating the document.

The President's stationery is reserved for exclusive use by the President of Clark Atlanta University.

5.6.1 OBTAINING UNIVERSITY BUSINESS CARDS

Generally, only those employees having frequent contact with external parties (supervisors or managers and officers of the University) may receive personalized business cards.

Personalized business cards may be requested through the Purchasing Department using the Business Card Order Form – Appendix M. The order form should be signed by the employee's Department Head and approved by the Business Affairs Office (Budgetary purposes). Nonpersonalized cards may be requested in the same manner as described above using the attached form.

5.6.2 PATENT AND COPYRIGHT POLICY

I. GENERAL

Research is recognized as an integral part of the educational process to generate new knowledge, encourage the spirit of inquiry, and develop scientists, and other scholars. As a result of such research, new discoveries and inventions may be made by staff, faculty members, and students of the University which could have material commercial value and which could contribute significantly to scientific technological, social, and cultural progress. In the best interest of the public, the inventor, the University, and under certain circumstances, the government, these accomplishments should be patented. Specifically, new discoveries and inventions should be patented for any of the following reasons:

- To encourage invention and ensure adequate rewards for the inventor.
- To fulfill the terms of the research grant or contract.
- To ensure protection and control in the public interest.
- To generate income to the University for education and research.
- To provide the commercial and scientific advantages resulting from the development of useful articles, compositions of matter, machines and processes.

The faculty members, staff, and students of the University are encouraged to evaluate the results of their research activities in terms of potential commercial value, the public interest, and the regional and national economy. Research programs culminating in the potentially patentable discoveries and inventions may require further activity to provide protection and control in the public interest or to realize the commercial potential of the discovery or invention.

Certain discoveries and inventions resulting from University research may not be patentable but may have material commercial value or potential as revenue producers. These accomplishments are subject to the same University policies as any patentable invention and will be considered by the University Creative Works Committee on an individual basis.

Inventions conceived or first reduced to practice in furtherance of the University research of faculty or staff shall be promptly disclosed in writing to the Provost/Vice President for Academic Affairs.

II. TITLE TO PATENTS

- A. The University claims ownership and control of the worldwide patent rights that result from activities of its faculty, staff, and students. University faculty and staff shall include all persons who hold any official faculty or staff relationship to the University, with the exception of those persons who render their services to the University on a gratuitous basis. This exception does not include faculty who are members of professional corporations affiliated with the University, even though the faculty may receive all or part of their compensation from the professional corporation. The inventor will normally receive twenty-five percent (25%) and the University seventy-five percent (75%) of the net financial returns from the sale, licensing, or other transfer of such patent rights.
- B. Acceptance of these policies by a CAU employee shall be a condition of employment.

If, however, the inventor or another institution believes that the circumstances surrounding the invention, including such factors as support provided by other than the University, place where the discovery was made, or lack of relevance to the regular work of the member of the faculty, or staff, warrant another distribution, the inventor or the institution may request the Creative Works Committee to review the circumstances. After review, the Creative Works Committee may determine a different distribution of the net proceeds.
- C. The University, as determined by the Creative Works Committee, may choose to waive the rights to a patent, thus granting the inventor permission to proceed in whatever manner deemed appropriate.
- D. Patent rights resulting from research carried on by a student in fulfillment of requirements for an academic degree, including the preparation of a

thesis or dissertation, are construed as making use of University resources and shall be subject to the provisions of Section A above.

- E. Patent rights resulting from government-sponsored research grants, contracts, fellowships, or other such arrangements, are controlled by the terms of those agreements, but as between the University and faculty members and staff accepting such grants, Section A above shall govern.
- F. Patent rights resulting from the research grants or contracts of non-government agencies or sources are, as between the University and faculty members and staff, subject to provisions of Section A above.

III PUBLICATION

All publication rights relating to sponsored research or research supported entirely or largely by University resources are reserved by the University for itself and its faculty members, staff, and students, subject to the following conditions.

- A. Publication may be withheld for a maximum period of six (6) months if required for the filing of a patent application. The Creative Works Committee is expected to use its efforts to expedite such application.
- B. Any patent or commercial product mentioned in a publication may not be referred to by its trade name without the consent of both the University and the sponsoring agency.
- C. The University, on request, submits any publication to the sponsoring agency before printing and considers any recommendations made by the sponsoring agency. However, the University makes the final determination as to the form, scope, and content of such publication.

IV. MANAGEMENT OF PATENTS

Inventions and discoveries resulting from University research are administered and controlled in a manner determined to be in the best interest of the public, the inventor, and the University. The responsibility for the management is through the Creative Works Committee.

V. UNIVERSITY PROCEDURES FOR PATENTS

Application to Creative Works Committee Disclosure Statement

The inventor shall prepare and submit a Disclosure of Invention in triplicate to the Creative Works Committee. The sponsoring information will include a description of the prior art, the problem solved or technical advantage, a full technical description of the development, an opinion on potential marketability, including possible commercial suggestions, and the potential long-term commercial interest.

Action by the Creative Works Committee Patentability Evaluation

The Creative Works Committee may submit to counsel the disclosure statement to initiate a patentability evaluation including, if desirable, a patent search. Such a decision would be based on Committee review, including consultation on a confidential basis with appropriate qualified University personnel.

An assignment of all worldwide rights, title and interest by the inventor(s) to the University in the development and improvements therein will be obtained prior to initiating any patentability evaluation, search, patent application, or other legal costs.

If patentable, the University may elect to file domestic or foreign patent applications as it is its sole discretion determines. The University shall have sole discretion as to whether any such patent applications or patents shall be maintained or abandoned. In the event that any such applications or patents are to be abandoned, the inventor(s) shall be given the opportunity to assume full control over and receive a transfer of any such application or patent.

If the Creative Works Committee does not approve the disclosure for a search or filing of patent applications after meeting any sponsor's requirements (such as those of a government agency), the inventor will be provided a release from any

constraints or interest on the part of the University subject to reservation or an irrevocable, not-transferable, royalty-free license in the University.

Action by the Creative Works Committee

License by Sale

Based on information in the disclosure, supporting statements, and patent search, the Creative Works Committee may:

- A. Authorize licensing on an exclusive or non-exclusive basis and/or an option to obtain a license (subject to any proper limits and sponsor's requirements).
- B. Sell the rights.
- C. Secure technology marketing services to identify appropriate licenses.

These actions are taken in consultation with the inventor(s) and after thorough review of the potential commercial interest.

Distribution of Income from Licensing or Sale of Patent Rights or Other Technology Rights

- A. First income will reimburse the University for legal, professional, and government fees paid for outside services.
- B. The balance of proceeds from royalty or sale shall be distributed as follows:
 - 1. Twenty-five percent (25%) to inventor(s), subject to any sponsoring agency limitations.
 - 2. Fifteen percent (15%) to School of the inventor.
 - 3. Five percent (5%) to the Department of the inventor.

4. In the event that total net income for a patent, or group of related patents, or technology rights, exceeds \$100,000, the above distribution of royalties shall be changed in accordance with a plan approved by the President, but not so as to reduce the inventor's share.
5. In the event an inventor entitled to compensation under paragraphs B-1 and B-4 hereof shall voluntarily or involuntarily leave the University, such inventor shall continue to remain entitled to receive payments under paragraphs B-1 and B-4 hereof, but shall not in any fashion be entitled directly or indirectly to continue to receive or transfer any other rights or benefits under paragraph B-1 hereof. In the event of death of an inventor entitled to receive compensation under paragraphs B-1 and B-4 hereof, such payments shall continue to be paid to the inventor's estate and subsequently to those lawfully taking there-under in accordance with a court approved distribution.

VI. PUBLIC DISCLOSURE

No public disclosure, publication, placing on sale or selling of the development shall be made without prior approval of the Creative Works Committee.

VII. PATENT CLASS

The terms of the invention, disclosure to other parties, and patent clauses in agreements for sponsored research are subject to the review, negotiation, and acceptance by the Provost and the Office of Research and Sponsored Programs. In the event that clauses in any such agreement appear to be unusual or to require special consideration, the Office of Research and Sponsored Programs shall submit the agreement to the Creative Works Committee for its consideration and recommendation.

Copyright Policy

Except for writings that pertain directly to inventions and discoveries of a patentable nature, writing done under contract with a third party, and copyrightable works for which ownership is ascribed to the University through externally-funded projects, all rights to copyrightable material shall be reserved by the author, and arrangement for publication and copyrighting shall be left to the individual writer. The University assigns to the Dean of the school in which the writer is employed, the responsibility for negotiating equitable terms covering writing done under contract and seeing that the University's responsibilities under the contract are fully carried out.

VI. LEAVE BENEFITS

6.0 ANNUAL LEAVE BENEFITS

The Annual Leave Policy has been established by Clark Atlanta University to allow regular, full-time and part-time staff employees, for the good of their health and in the interest of efficiency, time away from their jobs for rest, relaxation, recreation and personal activities. The amount of leave time granted will commensurate with eligibility and accrue according to a schedule established by the University. The University offers this benefit program at its discretion and reserves the right to modify this benefit at any time.

6.1 ELIGIBILITY

- A. Benefit based employees working full time and part time are eligible for Annual Leave after six (6) months of service if the employee has satisfactorily completed their new hire probation period.
- B. Eligible part-time employees will accrue annual leave on a prorated basis based on the hours worked.
- C. Non benefit-based part-time, temporary and contract employees are not eligible for annual leave benefits.
- D. Eligible Administrative Personnel as defined for the purpose of this policy are only those classified as Area Unit Heads and Operational Unit Heads and other professional level personnel as designated by the President working twelve (12) months per year.

Administrative Unit: Area supervised by a Vice President. These are presently five administrative units at Clark Atlanta University. They are: Academic Affairs unit, Enrollment Services and Student Affairs unit, Finance and Administration unit, Planning, Assessment, and Research unit, and Institutional Advancement and University Relations unit.

Administrators on twelve (12) month appointments earn two (2) days per month and are eligible to receive twenty-four (24) working days of annual leave per year (July 1 – June 30). Administrators on regular, part-time twelve (12) month appointments earn annual leave on a prorated basis.

Administrative Unit Heads: The five Vice-Presidents who supervise the administrative units.

Operational Unit: A sub-division of an administrative unit that carries out one or more discrete functions of the administrative unit. Example: Admissions is an operational unit of Enrollment Services and Student Affairs.

Operational Unit Head: Associate/Assistant Vice President, Director or other appropriate designations who supervise operational unit(s).

Sub-unit: A sub-division of an operational unit responsible for a single function. Example: Accounts Payable is a sub-unit of General Accounting.

Sub-unit Head: Supervises the functions of a sub-unit. Although this position is supervisory, it is not classified as administrative.

6.1.1 GENERAL

- A. Annual Leave will be administered according to the University's fiscal calendar, July 1st through June 30th of the following year.
- B. Annual Leave will be accrued from the date an employee is hired into a regular position, at the rate as indicated in the Annual Leave Accrual Schedule, to the maximum number of accrued leave days as indicated.
- C. Employees are encouraged to take Annual Leave to the maximum of the annual accrual. However, employees will be allowed to carry-over a designated maximum number of days at the end of the fiscal year (June 30th).
- D. An employee will be given whatever preference is possible in scheduling annual leave, contingent upon the operations of the department in which the employee works.

- E. When an employee transfers from one department to another, the annual leave accrued will transfer with the employee. The receiving manager may request an accounting of the balance of the employee's Annual Leave after the employee has transferred.
- F. Accrued Annual Leave will be calculated at the base rate of pay and will not be considered time worked when computing hourly employee's overtime.
- G. In the event a holiday is observed by the University, during an employee's scheduled annual leave period, the holiday will not be charged against the employee's annual leave.
- H. An employee may elect to use Annual Leave in the case of illness after the accrued sick leave has been depleted.
- I. An employee separating from the University will be paid the unused annual leave that is accrued at the date of employee's separation.

6.1.2 LIMITATIONS

- A. This policy does not allow payment in lieu of Annual Leave except at the time of separation of employment from the University at that time all accrued leave will be paid.
- B. If an employee's annual leave accrual is in excess to the allowable carry-over days, the employee will lose those days. Carry over of annual leave is not permitted except in extenuating circumstances which will require the written approval of the President/Provost of the University or the President's designee.
- C. Employees hired on a temporary or contract basis are not eligible for this benefit.
- D. Exceptions to this policy require the approval of the President of the University.

6.1.3 ANNUAL LEAVE POLICY ACCRUAL SCHEDULE

Clark Atlanta University Annual Leave Schedule Salaried 35 hour per week

Length of Service	Days (hours) Per Year	Monthly Accrual Days (hours)	Max-Allowed carry over Days (hours)
1 st -3 rd year	10 (70.00)	.83 (5.82)	5 days (35.00)
4 th -7 th year	13 (91.00)	1.08 (7.56)	8 days (56.00)
8 th -15 th year	16 (112.00)	1.33 (9.32)	11 days (77.00)
16 th -20 th	19 (133.00)	1.58 (11.06)	14 days (98.00)
21 st + years	21 (147.00)	1.75 (12.26)	16 days (112.00)

Clark Atlanta University Annual Leave Schedule Hourly 40 hour per week

Length of Service	Days (hours) Per Year	Monthly Accrual Days (hours)	Max-Allowed carry over Days (hours)
1 st -3 rd year	10 (80.00)	.83 (6.64)	5 days (40.00)
4 th -7 th year	13 (104.00)	1.08 (8.64)	8 days (64.00)
8 th -15 th year	16 (128.00)	1.33 (10.64)	11 days (88.00)
16 th -20 th	19 (152.00)	1.58 (12.64)	14 days (112.00)
21 st + years	21 (168.00)	1.75 (14.00)	16 days (128.00)

ADMINISTRATIVE PERSONNEL AREA AND OPERATIONAL UNIT HEADS

Length of Service	Days Per Year (hours)	Monthly Accrual Days (hours)	Max-Allowed carry over Days (hours)
1 st -3 rd year	24 (168.00)	2 days (14.00)	12 days (84.00)
4 th -7 th year	24 (168.00)	2 days (14.00)	15 days (105.00)
8 th -15 th year	24 (168.00)	2 days (14.00)	17 days (119.00)
16 th -20 th	24 (168.00)	2 days (14.00)	18 days (126.00)
21 st + years	24 (168.00)	2 days (14.00)	19 days (133.00)

VI-4

- A. All full-time regular employees with at least five (5) years of continuous service prior to July 1, 1989 are entitled to twenty-one (21) days of annual leave per year with twenty (20) maximum allowable carryover days.

- B. Administrative personnel are those classified as Area Unit Heads, Operational Unit Heads, and other professional personnel designated by the President. Eligible administrators as defined for the purpose of this policy (ref. Section 1, C) on twelve (12) month appointments earn two (2) days per month. Eligible administrators on regular, part-time 12 month appointments earn annual leave on a prorated basis.
- C. Part-time regular staff accrue leave on a prorated basis based on the hours worked.

EXCEPTIONS TO THIS POLICY ARE RARELY GRANTED AND WILL REQUIRE THE WRITTEN APPROVAL OF THE PRESIDENT OF THE UNIVERSITY.

6.2 HOLIDAY BENEFITS

Clark Atlanta University observes fifteen (15) paid holidays annually which include thirteen (13) designated and two (2) personal days.

LEGAL HOLIDAYS:	UNIVERSITY HOLIDAYS
MEMORIAL DAY	MARTIN LUTHER KING, JR.'S BIRTHDAY
INDEPENDENCE DAY	GOOD FRIDAY
LABOR DAY	SPRING BREAK (one day will be designed every year)
THANKSGIVING DAY	DAY AFTER THANKSGIVING
CHRISTMAS DAY	CHRISTMAS EVE AND THE FOLLOWING DAY
NEW YEAR'S DAY	NEW YEAR'S EVE

6.2.2 HOLIDAY OBSERVANCE

When a holiday falls on a Sunday, it will be observed on the following Monday. When a holiday falls on a Saturday, it will be observed the preceding Friday. The University Holiday Calendar with the actual dates on which all holidays will be observed for the upcoming year will be distributed at the end of the preceding fiscal year.

6.2.3 ELIGIBTLITY

- A. Full-time benefits based employees are eligible for this benefit after they have completed thirty (30) days of employment.
- B. Part-time employees that are benefits based are eligible for holiday pay proportion to the regularly scheduled hours of work the preceding non-holiday work week after they have completed thirty (30) days of employment.
- C. Eligible employees are required to work the schedule workday preceding and the schedule workday following the holiday in order to receive holiday pay. In accordance with the University policy, an approved annual leave day or any other prearranged excused and paid leave is considered a work day for the purpose of holiday pay eligibility.
- D. Non-benefits based part-time, temporary and contract status employees are not eligible for holiday pay.

6.3 PERSONAL DAYS

In addition to the thirteen (13) paid University-designated holidays, the University grants two (2) Personal Days annually to full-time regular staff who have completed one year of continuous service for personal business that cannot be taken care of during regular business hours and for religious observances, ethnic holidays, and other events of personal significance. Note that personal days may not be used to extend scheduled annual leave or any other approved leave.

VI-7

The two (2) Personal Leave days are granted at the beginning of each fiscal year on July 1 and must be used by the end of that fiscal year, June 30. Employees may not carry-over

personal days at the end of the fiscal year and personal days are not paid if an employee separates from the University.

Personal Days must be scheduled in advance and an employee is encouraged to make use of personal days before annual leave days if possible. To arrange a personal day from work, an employee must submit a Leave Request Form to his/her immediate supervisor to obtain approval to observe a personal day(s). This Request Form must be submitted at least one week before the day(s) of anticipated observance, except in emergency situations. The supervisor must consider workload priorities in determining whether to approve the request. Special consideration is given to requests for observance of holidays of religious significance and reasonable accommodation will be made with adequate notice which should exceed the normal one week requirement.

6.4 SICK LEAVE BENEFITS

The University recognizes that absences from work due to illness and injury may cause economic hardship. For this reason, the University has established a means by which eligible employees will continue their base salary. It is the policy of Clark Atlanta University by means of Sick Leave, to grant eligible employees the opportunity to accrue a specific number of days each year they are employed and to accrue these days to a maximum amount that will cover short-term illnesses. The University provides Disability Insurance for long term illness at no cost to the employee (please reference the CAU Benefits Department for further information). No payments are made for Sick Leave when an employee voluntarily or involuntarily separates from the University.

VI-8

6.4.1 ELIGIBILITY

- A. Full-time or part-time benefits based employees are eligible for sick leave benefits after they have completed sixty (60) days of employment.
- B. Part-time non-benefit based, temporary and contract employees are not eligible for this benefit.

6.4.2 ACCRUAL OF SICK LEAVE

- A. Accrual of sick leave will begin the date of hire, however, an employee is not eligible to use the sick leave until after they have completed sixty (60) days of employment.
- B. Eligible full-time employees will accrue sick leave at the rate of one day (8 hours) per month. The maximum amount of sick leave an eligible full-time employee may accrue is one-hundred twenty (120) days or nine-hundred sixty (960) hours.
- C. Eligible benefit-based part-time employees will accrue sick leave at the rate of 1/2 day (4 hours) per month. The maximum amount of sick leave eligible part-time employees may accrue is sixty (60) days or four hundred eighty (480) hours.
- D. An eligible employee on an unpaid leave of absence for thirty (30) or more days cannot accrue sick leave until they return to active status.
- E. An employee on a Workers' Compensation Leave for thirty (30) or more days cannot accrue sick leave until they return to active status.

6.5 ADMINISTRATIVE RESPONSIBILITY

Employee

It is the responsibility of the employee to complete and submit a Leave Form for sick time taken to his/her supervisor/manager upon arrival and return to work.

Manager

The supervisor/manager is responsible for recording absences due to sickness by assuring that a Leave Request indicating the dates of the employee's absence is completed by the employee, the first day the employee returns to work. The Leave Form must be signed by the supervisor/manager and submitted to Human Resources (by the supervisor/manager) within one day from the date the employee returns to work. The supervisor is also responsible for recording and maintaining department records of sick leave absences. In the event the employee is absent (due to sickness) and does not have accrued sick leave, the manager must:

- A. Determine if the employee has annual leave to which the employee's absence [may be charged.
- B. If the employee has also exhausted their accrued annual leave, the absence must be reported and recorded in a non-pay status to Human Resources on a Personnel Action Form for payroll processing.
- C. In the case of hourly personnel, the non-pay absence dates should be recorded on the employee's time sheet and a copy of the time sheet must be submitted to Human Resources for record keeping purposes.

In all cases, the no-pay absence must be reported within the same pay period in which it

occurred, no later than the following pay period.

Human Resources

Human Resources is responsible for recording sick leave requests and notifying the employee and the Manager/Dean as soon as they are aware that an employee sick leave usage has been exhausted or has exceeded the employee's sick leave accrual. Human Resources is also responsible for processing the Personnel Action Notice placing the employee in a non-pay status.

6.6 LIMITATIONS

The University will only pay sick leave if the employee has accrued sick leave. In the event the Employee is absent due to illness and does not have sick leave time, the employee will be placed in a non-pay status for the absences by the Supervisor/Manager.

6.7 EXCEPTIONS

Exceptions to this policy will require the approval of the President of the University.

VII. TUITION REMISSION

7.0 TUITION REMISSION POLICY

The Tuition Remission Policy has been established to help Clark Atlanta University strengthen its human resources by providing eligible employees an opportunity to obtain, maintain, or improve job and career related capabilities or pursue a Bachelor's, Master's and Specialists degree through participation in academic courses of study. This opportunity is extended to the employee's spouse and dependent children (as defined only for the purposes of this policy). The remission or waiver of tuition is designed as a supplemental benefit intended to be applied after the eligible participant has applied for and received state and federal financial aid grants/scholarships for which they qualify. The University offers this benefit program at its discretion and reserves the right to modify or discontinue this benefit at its discretion. Notices regarding this benefit will be disseminated to employees at least thirty (30) days prior to the start of the affected semester.

7.1 EMPLOYEE ELIGIBILITY

- A. Faculty and staff members who are employed as regular, full-time, benefit based employees and who have been so employed for two (2) continuous years are eligible to apply for this benefit. Employees hired and classified as temporary, contract and/or part-time are not eligible for this benefit. This policy applies to anyone hired after June 30, 1998.
- B. Tuition Waiver does not apply to enrollment in Continuing Education or to the Professional MBA Program.

VII-1

- C. Employees in an inactive status (i.e. extended Leave of Absence, FMLA) may complete the semester in which they are currently enrolled, however, the

employee may not make application for another course or semester until they have returned to full-time active employment status.

- D. To maintain eligibility, an employee must comply with all of the provisions of this policy and maintain academic good standing as defined by the University's catalog.

7.2 SPOUSE AND DEPENDENT ELIGIBILITY

A. Spouse Eligibility

The spouse of an eligible employee may attend Clark Atlanta University if he/she meets the admissions requirements and they have been married for one (1) year, at the time of the spouse's application. The employee must be prepared to provide a marriage license verifying the date of marriage upon request as proof of eligibility. A spouse is eligible for a maximum of fifty percent (50%) tuition remission. Eligibility of a divorced spouse terminates at the end of the current semester of enrollment.

B. Dependent Children Eligibility

Dependent children of an eligible employee may attend CAU, Morehouse College, Morris Brown College, or Spelman College under a reciprocal agreement if they meet the regular admissions requirements of those institutions.

1. For the purpose of this policy, eligible dependent children must be an unmarried bona fide dependent by criteria of the Internal Revenue Service, who has resided with the employee and for whom the employee has been the primary support for a minimum of one year (immediately preceding the semester of attendance).

VII-2

2. For the purpose of this policy, an eligible child must be:

- a. a natural born child
 - b. a legally adopted child
 - c. a stepchild
 - d. a foster child; as evidenced by a court recognized Family and Children Services Agency or probate court of the United States of America
 - e. a child under the legal guardianship of the employee; as evidence by a certified copy or original court order of the United States of America at least one (1) year before the date of enrollment
3. Only dependent children under the age of twenty-four (24) are eligible to receive this tuition remission. A child who reaches age twenty-four (24) before the first day of class in a semester is not eligible to enroll. A child reaching the age of twenty-four (24) during any semester of enrollment is eligible to complete the class with remission, but is ineligible for any further remission as a dependent.
 4. For the purpose of this policy, dependent children cannot be:
 - a. A veteran of any branch of the United States Armed Services; or
 - b. an emancipated minor (self supporting)
 5. Dependent children of employees who retire or die with twenty (20) years of service that meet the above requirements will be eligible for this benefit if they meet the requirements of the University Tuition Remission Policy as it exists on the date of the intended enrollment.

7.3 GENERAL

- A. The award of tuition remission does not by itself authorize an employee's absence from work to attend courses scheduled during normal working hours. The employee must obtain a written authorization from the supervisor and department manager. Arrangements must be made in advance to compensate for the absence from work.

- B. Department/Unit Heads may not attend courses scheduled during normal business hours unless approved in writing by the Administrative Unit Head (VP of the Unit)
- C. A separate application for each participant must be completed for each semester of attendance.
- D. The remission/waiver of tuition is designed to supplement tuition cost after the employee, spouse and dependent children have applied for Financial Aid. The Financial Aid Application must be completed prior to applying for tuition remission. The Tuition Remission Application must be completed in accordance with the following application(s) time periods and submitted to the Human Resources Office prior to the deadline(s).

Semester	First Day of Application	Application Deadline
Fall	May 1	June 30
Spring	September 1	October 30
Summer	March 1	April 30

7.4 LIMITATIONS

- A. Tuition remission benefits are not transferable for any purposes.
- B. Eligible participants must apply for admission and meet all admission standards for the desired course or program.
- C. The Tuition Remission Application must be filed in the Human Resources Office before the deadline. Applications will not be accepted after the deadline.

- D. Eligible participants in this program may only enroll in courses after the course enrollment has reached the number of students required for the course to be offered.
- E. This policy allows the acquisition of only one degree for eligible employees, spouse and dependent children. Doctoral studies are not permitted under this program.
- F. Employees are not eligible to attend CAU's Summer Sessions under this policy.
- G. Eligible spouse and dependent children may only enroll in credit bearing courses.
- H. Eligible employees may be provided with up to one hundred percent (100%) tuition remission for up to six (6) credit hours in a given semester. A maximum of three (3) credit hours may be taken during the 9 to 5 normal working hours with the approval of the supervisor and the Department/Unit Head. The employee must make-up the time spent in class between 9 and 5.
- I. Fifty percent (50%) remission of actual tuition charges is the maximum an eligible spouse may receive after the application of financial aid received. A spouse may not receive tuition remission benefits in any one semester for more than an amount equivalent to fifty (50%) of the tuition charges for that semester for full-time status in the program in which the spouse is enrolled.
- J. Eligible dependent children may not receive remission benefits in any one semester for more than an amount equivalent to the tuition charges for that semester for full load status in the program in which the student is enrolled.
- K. A student may not receive tuition remission for more than the minimum credit hours required in the degree program in which the student is enrolled. If the student is not a degree candidate, the student will not be eligible for tuition remission for more than sixty (60) undergraduate credits and twelve (12) graduate credits.
- L. An eligible spouse or dependent must complete a degree course of study within seven (7) years from first date of enrollment.

- M. Grade Requirements and Limitations:
1. Program participants must remain in the status of 'good academic standing' as defined in the appropriate catalog for Undergraduate and Graduate Programs.
 2. Students who are not in good academic standing are not eligible to receive tuition remission until they regain good academic standing.
- N. The payment of all non-tuition costs including application, laboratory, parking fees, all other fees including books and supplies are the responsibility of the employee, spouse or dependent and are not covered as a benefit under this policy.
- O. An employee must remain in service at the University two (2) full years following the awarding of a degree to a spouse, dependent or the employee. Failure to do so will cause a financial obligation to be placed on the student's account; the amount of the obligation will be the amount of the tuition remission received during the last year of study under the benefit program.
- P. By the mere participation in this program, the employee, spouse and dependents agree to abide by the provision of this policy. In the event the information in the application is misrepresented, the employee will be responsible for refunding the full tuition awarded under this policy to the University

7.5 APPLICATION PROCEDURE FOR TUITION REMISSION BENEFITS

To qualify for tuition remission benefits under this policy, an eligible employee, spouse and each dependent must complete an application for tuition remission for each semester. An approved application constitutes eligibility for this benefit for one semester only.

- A. An application for admission to the University must be completed and the employee must meet the standard admission requirements and be accepted.

- B. Financial Aid Form must be completed and filed with the College Scholarship Service:
1. Complete the Georgia Tuition Equalization Grant (GTEG) form (all Georgia residents).
 2. Complete an Application for the HOPE Scholarship and PELL Grant.
 3. Tuition Remission will supplement the balance of the tuition requirements following the application of Financial Aid to the Student's Account.
- C. The employee must complete the Tuition Remission Application and obtain the appropriate approvals. The scheduled work hours the employee has arranged to make up for the absence from work must be noted in the appropriate section of this document.
- D. The department approved Tuition Remission Application must be submitted to the Human Resources Department prior to the published deadline.
1. Human Resources will approve the eligibility of the enrollee and if approved, and
 2. Submit the approved Tuition Remission Application to the Financial Aid Office.
 3. If the employee is not eligible or verification of spouse or dependent children eligibility is required, the employee will be contacted.
- E. The Financial Aid Office will:
1. Verify the Financial Aid Application has been submitted.
 2. Submit the Tuition Remission Application to the Student Accounts Office.
 3. Disapprove eligibility for the benefit if the Financial Aid Application has not been submitted.

4. Return the Tuition Remission Application to the Human Resources Office. Human Resources will notify the employee accordingly.
- F. The Student Accounts Office will:
1. Apply a tuition remission credit to the balance of the Student Account within the guidelines of this policy.
 2. Return the first three copies of the Tuition Remission Application to Human Resources.
- G. Human Resources will forward the employee and Department/Unit Head their copy of the approved copy indicating the eligibility of the employee.

INTERNAL REVENUE SERVICE GUIDELINES: Employees receiving this benefit should contact their tax consultant regarding these benefits which may be covered by Section 127 of the IRS Code.

7.6 SEPARATION FROM THE UNIVERSITY

Involuntary Separation

The University may grant an employee in good standing who is involuntarily separated from the University the privilege to complete the current academic semester in which he/she is enrolled. This also applies to the spouse and dependent children. At the completion of the academic semester, this privilege will automatically terminate. This does not apply to employees who are separated for cause, as determined by the Director of Human Resources after consulting with the separated employee's supervisor. Employees separated for cause may complete the semester at their own expense or may withdraw in accordance with the withdrawal policy of the University.

Voluntary Separation

If an employee who is currently obtaining benefits for themselves, spouse or dependents under this policy, voluntarily separates from the University for any reason within one (1) year of the completion of a course or degree program, the employee must refund the University the full amount of the tuition waiver benefit received within the last twelve (12) months of employment with the University. The refund is due within three (3) months following the date of the employee's separation. If it is not paid within this period, the transaction will be handled as stated in Section 7.4 0. In the case of voluntary separation due to permanent disability, ill health, or parental or spouse death, the University will waive the refund.

EFFECTIVE DATE

This policy supersedes all previous tuition remission waiver policies and shall apply beginning with the **1998 Fall Session**.

CLARK ATLANTA UNIVERSITY

STAFF PERSONNEL REQUISITION

It is the policy of the University that **all** positions be posted/advertised within the University for a minimum of five (5) days before an offer is extended.

POSITION INFORMATION DEPARTMENT _____ POSITION TITLE _____ PAY GRADE _____ HIRING PAY RANGE _____ <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">START DATE</td> <td style="width: 50%;">END DATE</td> </tr> </table> <input type="checkbox"/> FULL-TIME <input type="checkbox"/> PART-TIME HRS. Per Week _____ <input type="checkbox"/> REGULAR POSITION <input type="checkbox"/> TEMP. POSITION <input type="checkbox"/> HOURLY <input type="checkbox"/> SALARY - SUPERVISOR/MANAGER <input type="checkbox"/> YES <input type="checkbox"/> NO Hiring Manager _____ Date _____ Dean/Department Head/Executive _____ Date _____				START DATE	END DATE	<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 50%;">REQUISITION NO.</td> <td style="width: 50%;">POSTING DATE</td> </tr> </table> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td colspan="3">HRIS ONLY:</td> </tr> <tr> <td colspan="3">POSITION NUMBER:</td> </tr> <tr> <td colspan="3">CLOSING DATE:</td> </tr> <tr> <td>ECLASS:</td> <td colspan="2">PCLASS:</td> </tr> <tr> <td>Exempt</td> <td>Non-exempt</td> <td>EEO</td> </tr> <tr> <td colspan="3">Position Title:</td> </tr> <tr> <td>Salary Grade:</td> <td>Min \$</td> <td>Mid \$</td> </tr> </table> Grants & Contract Approval * _____ Date _____ Budget Approval * _____ Date _____ Human Resources Department _____ Date _____ * Signature required before forwarding to Human Resources Department		REQUISITION NO.	POSTING DATE	HRIS ONLY:			POSITION NUMBER:			CLOSING DATE:			ECLASS:	PCLASS:		Exempt	Non-exempt	EEO	Position Title:			Salary Grade:	Min \$	Mid \$
START DATE	END DATE																													
REQUISITION NO.	POSTING DATE																													
HRIS ONLY:																														
POSITION NUMBER:																														
CLOSING DATE:																														
ECLASS:	PCLASS:																													
Exempt	Non-exempt	EEO																												
Position Title:																														
Salary Grade:	Min \$	Mid \$																												
REQUIRED BUDGET INFORMATION																														
<input type="checkbox"/> NEW POSITION <input type="checkbox"/> REPLACEMENT		(Name of Previous Employee)		DATE POSITION VACATED																										
BENEFITS ELIGIBLE* : <input type="checkbox"/> YES <input type="checkbox"/> NO * Must work at least 25 hours per week																														
Index	Fund	Org	Acct. Code	Program Code	Activity Code	Amount	%																							
ANNUAL TOTAL																														
APPROVALS																														
Grant Director _____		Date _____		Chair/Director _____		Date _____																								
School Dean/Unit Head _____		Date _____		VP Finance and Administration _____		Date _____																								
Provost /President _____		Date _____		Director of Human Resources _____		Date _____																								
Comments: _____ _____ _____																														
Please attach a Job Description (include Education and Years of Experience Required, along with Special Skills, Training, Technical Skills and Job Knowledge) submit via email or computer disk to Human Resources. Requirements must be stated on the job posting. <u>Background checks will be required for all applicants who receive an offer</u>																														
USE THIS SECTION FOR EXTERNAL RECRUITMENT REQUESTS																														
Recruitment Contact: _____		Ext. Number: _____		Advertising Budget Number: _____																										
Expense Number: _____		Advertising Media: _____																												
HR DEPT: _____	Date Position Filled _____	Name of Hire: _____			Total Recruitment Time _____																									

CLARK ATLANTA UNIVERSITY

PERSONNEL ACTION FORM (PAF)

The Personnel Action Form is to be used to authorize and obtain approval of an employee transaction.

Please complete ONLY the sections affecting the status change.

SECTION (A) TYPE OF TRANSACTION

New Hire * _____ Rehire _____ Leave of Absence _____ Return from Leave of Absence _____ Promotion _____
 Demotion _____ Salary Adjustment _____ Transfer _____ Reclassification _____ *Requisition # _____

SECTION (B) IDENTIFICATION INFORMATION

Social Security Number:	Date of Birth:	Last Name:	First Name:	MI		
Address:		City:	State	Zip Code	County	Home Telephone
Job Title			Department			
Ethnic Background:		Black/African American	White	Hispanic	Asian	Other (Specify)
Handicapped:		Yes _____ No _____	If yes, please specify _____			
Name of Project (No Abbreviations please)		Reports to	Manager's/Supervisor's Extension Number			

SECTION (C) CONDITION OF EMPLOYMENT

_____ Initial Appointment _____ Re-Appointment _____ Separation _____ Replacement for _____ _____ Other (Specify) _____ (Example: Endowed Chairs, Special Grants, etc.)	_____ Full-time _____ Part-Time _____ Regular _____ Temporary _____ Consultant _____ Adjunct _____ Course Overload
--	--

SECTION (D) SALARY AND BUDGET FUNDING SOURCE

Proposed Start Date _____	End Date _____	Initial Date of Hire _____
Recommended Salary \$ _____	Approved Salary \$ _____	If Biweekly, Hourly rate \$ _____
Salary Payment Schedule: _____ F/T 12 months – Salary paid over 12 months _____ F/T 9 months – Salary paid over 12 months _____ F/T 9 months – Salary paid over 9 months _____ F/T 10 months – Salary paid over 10 months		_____ Summer _____ Bi-weekly _____ Other (_____) months, Salary Paid over (_____) months

INDEX	FUND	ORG	ACCOUNT CODE	PROGRAM CODE	ACTIVITY CODE	MONTHLY AMOUNT	%
TOTAL							

Budget Official Signature	Date	Grants and Contract Official Signature	Date
----------------------------------	-------------	---	-------------

SECTION (E) OCCUPATIONAL CATEGORY

_____ 01-Executive./Admin/Managerial	_____ 05-Technical/Paraprofessional	_____ 09-Other (Specify)
_____ 02-Faculty	_____ 06-Skilled Craft	
_____ 03-Professional/Non-Faculty	_____ 07-Service/Maintenance	_____ Exempt
_____ 04- Secretarial/Clerical	_____ 08-Teaching/Research/Graduate Assistant	_____ Non-Exempt

***Signature required before forwarding to the Human Resources Department**

Grant Director*	DATE	Chair/Director*	DATE
PROVOST*(as needed)	DATE	School Dean/Unit Head*	DATE
VP Finance and Administration	DATE	Director of Human Resources	DATE

CLARK ATLANTA UNIVERSITY

Recommendation for Supplemental Pay

The Supplemental Pay Form is used to request additional compensation for employees of the University for work performed in addition to the employee's regular assignment. Supportive/Justification documentation must be noted in Section II or attached. Approval must be obtained from the employee's immediate supervisor/manager. **This form does not replace the PAF and should only be used to make supplemental pay payments (Nine month employees working during the summer must have a PAF completed).**

SECTION I EMPLOYEE INFORMATION

Social Security #	Last Name	First Name	MI	Position		
Regular Hourly/Monthly Salary \$	Organization Code	Home Department Name	Home Department Index	Fund#	Account	

Area Supervisor/Manager Notified

SECTION II SUPPLEMENTAL ASSIGNMENT JUSTIFICATION

Briefly/Specifically describe the assignment (s) and the rationale for the requirement of additional support beyond the normal staffing.

Additional space is required and supportive documentation attached

SECTION III COURSE INFORMATION

Course #	Title of Course	Section	Current Enrollment	Credit Semester Hours

SECTION IV ADDITIONAL COMPENSATION INFORMATION

Start Date _____ End Date _____ # Of Hours Worked _____ Total Amount \$ _____

(If hourly a timesheet must be attached)

Index	Fund	Org	Acct. Code	Program Code	Actv. Code	Amount	%
TOTAL							

Approvals

Budget Approval _____	Date _____	Grants & Contract Approval _____	Date _____
-----------------------	------------	----------------------------------	------------

Benefit deductions/contributions including contributions to the University TIAA CREF Plans are not deducted from supplemental pay earnings.

APPROVALS: Grant Director*	DATE	Chair/Director*	DATE
PROVOST*(as needed)	DATE	School Dean/Unit Head*	DATE
VP Finance and Administration	DATE	Director of Human Resources	DATE

APPENDIX C



CONSULTANT STATEMENT OF WORK FORM

This is to certify that I have worked for the _____
Project/Program of -Clark Atlanta University for a total of _____
days from the period beginning _____ through _____
(date, year) (date, year)
in the city of _____ at _____
(location)

Brief description of the work performed: _____

I understand and agree that I shall not accept any compensation for this work during a time when I am being compensated by other federal monies.

Name: _____
Address: _____

Social Security Number: _____
Date: _____ Signature _____

TO BE COMPLETED BY APPROVING PARTY

Account No. _____ Approved: _____
Rate of Pay: _____ Title: _____
Amount Due: _____ Date: _____



ADVANCE APPROVAL ONLY

DATE _____

Name of Traveler _____ Budget Affected _____ \$ _____

Address _____ \$ _____

_____ \$ _____

Department or School _____

Departure _____ Date: _____

Return _____ Date: _____

Purpose of Travel: _____

Expenditures:	(1) Requested by Traveler and Approved by Dean	(2) Approved by Business Office	(3) Actual Expendi- ture Supported by Receipts	(4) Approved for Payment
Transportation:				
Mode _____	\$ _____	\$ _____	\$ _____	\$ _____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
Lodging-	_____	_____	_____	_____
Meals:	_____	_____	_____	_____
Others (Itemize)	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
TOTALS	\$ _____	\$ _____	\$ _____	\$ _____

Ordered by: _____

Approving Authority: _____

Business Office Approval: _____

FOR BUSINESS OFFICE APPROVAL: This form must be submitted for approval before the travel is made. Copies will be returned after approval and for re-submission for payment.

FOR PAYMENT: Please complete column (3), attach all receipts to this voucher and return all copies to Purchasing Office within seven (7) days after travel,

Clark Atlanta University
Office of Research and Sponsored Programs (ORSP)

Proposal Routing Sheet

Please Print Clearly or Type all Information

1. Principal Investigator: _____ Telephone Number: _____
Department: _____
Co-Principal Investigator: _____ Telephone Number: _____
Department: _____
CAU PIN Number: _____
2. Project Title: _____

3. Beginning Date: _____ Ending Date: _____
4. Funding Agency: *(Include complete address)*: _____

CFDA Number: _____
5. Contact Person: _____ Telephone Number: _____
6. **Agency Deadline:** _____ **Postmarked Date:** _____
7. Amount Requested: **All years** \$ _____ Yr 01 _____ Yr 02 _____ Yr 03 _____ Yr 04 _____ Yr 05 _____
8. Indirect Cost Rate Used: _____ **If other than the University approved rate, attach a copy of the agency policy limiting overhead reimbursement or a letter of justification explaining such action.**
9. Type of Agency: Federal State Private Other *(Please specify)* _____
10. Project Category: Research Training Infrastructure
11. Type of Project *(Please check all that apply)* New Continuation Renewal
 Non-Construction Construction Pre-Proposal
12. Location of Project: On Campus Off-Campus Other *(Please specify)* _____
13. Does the project involve subcontractors responsible for performing the research?
 Yes No **If yes, state name and address of company and person performing research.**

14. **Conflict of Interest: Have you completed and have on file a Statement of Financial Interest for this fiscal year:** Yes No. **Will this proposal affect the Statement on file?** Yes No
If yes, please explain. _____

Institutional Commitments:

15. Yes No Does this project involve more than one department and/or organizational unit? **If yes,** have you notified the Chair/Dean/Director of each unit? I have notified:

Office Use Only			
1. Proposal No. _____	2. Date Mailed: _____	3. Date Awarded: _____	4. CAU PIN No: _____

16. Yes No Does the proposal require or utilize matching funds? **If yes**, provide specific information. **Be sure to indicate the source and attach commitment documentation of these matching funds.**

17. Yes No Is space other than the Investigator's current office and/or lab necessary for the completion of this project? **If yes**, has the space been identified and committed?
 Yes No *Please identify alternate space location and attach commitment documentation*

18. With respect to an invention, discovery, or copyrightable material produced in the course of the activities encompassed by this application, I agree that my rights (and those of any co-investigators) working on the aforescribed project shall be controlled by the terms of the University contract, grant, or award document and I further agree that I am subject to and will comply with the University Patent Policy, and will make such assignment of rights as is required in this said award document or University policy.

Signatures:

_____ Principal Investigator	_____ Date	_____ Department Head/Dean	_____ Date
_____ Project Initiation Division	_____ Date	_____ Director, Research & Sponsored Programs	_____ Date
_____ Co-Principal Investigator	_____ Date	_____ Technical Director, Science Research Center	_____ Date

Safety and Protection

19. Does the proposal involve research with any subject or substance which requires review by a designated individual, office or committee? Yes No

***Date of Review/
Pending Review***

<input type="checkbox"/> Institutional Review Board _____	_____ Chairperson, Institutional Review Board
<input type="checkbox"/> Animal Subjects _____	_____ Chairperson, Animal Subjects Committee
<input type="checkbox"/> Radiation Hazards _____	_____ Chairperson, Radiation Committee
<input type="checkbox"/> Recombinant DNA _____	_____ Chairperson, Recombinant DNA Committee
<input type="checkbox"/> Biohazards _____	_____ Chairperson, Biohazardous Committee

**CAU APPROVED RESRICTED BUDGET
FORM 405**

PROJECT TITLE: _____
 GRANT NUMBER: _____
 ACCOUNT NUMBER: _____ DATE: _____
 PI/PD: _____ DATE: _____
 V.P. OSP: _____ DATE: _____
 DIR., OGCA: _____ DATE: _____
 Project Period-- Begin Date: _____ End Date: _____ No Cost Extension: _____

		FUNDING SOURCE	CAU COST SHARE UNRESTRICTED	Account No.	TOTAL
LABOR COSTS:					
ADMIN/FT	6120	_____	_____	()	_____
FACULTY/FT	6131	_____	_____	()	_____
FACULTY/PT	6132	_____	_____	()	_____
STAFF/FT	6141	_____	_____	()	_____
STAFF/PT	6142	_____	_____	()	_____
STAFF TEMPORARY	6150	_____	_____	()	_____
ADJUNCT FACULTY	6160	_____	_____	()	_____
OVERTIME/ALL	6170	_____	_____	()	_____
GRAD/TA	6210	_____	_____	()	_____
INSTITUTIONAL WORK STUDY	6230	_____	_____	()	_____
TOTAL		<u>0</u>	<u>0</u>		<u>0</u>
FRINGE BENEFITS:					
SOCIAL SECURITY	6510	_____	_____	()	_____
GROUP INSURANCE	6520	_____	_____	()	_____
RETIREMENT	6230	_____	_____	()	_____
STATE UNEMPLOYMENT TAX	6550	_____	_____	()	_____
FACULTY/STAFF TUITION WAIVER	6560	_____	_____	()	_____
TOTAL FRINGE BENEFITS		<u>0</u>	<u>0</u>		<u>0</u>
TOTAL (LABOR COSTS+FRINGE BENEFITS)	\$	<u>0</u>	<u>0</u>		<u>0</u>
GENERAL & ADMINISTRATIVE:					
CONSULTANTS/EXTERNAL	7003	_____	_____	()	_____
PROFESSIONAL SERVICES	7010	_____	_____	()	_____
TOTAL OPS		<u>0</u>	<u>0</u>		<u>0</u>
TRAVEL:					
TRAVEL AND MEETINGS	7031	_____	_____	()	_____
LOCAL TRAVEL	7032	_____	_____	()	_____
TRAVEL ADVANCE	7035	_____	_____	()	_____
FACULTY/STAFF DEVELOPMENT	7042	_____	_____	()	_____
WORKSHOPS/REG. FEES	7041	_____	_____	()	_____
TOTAL TRAVEL		<u>0</u>	<u>0</u>		<u>0</u>
SUPPLIES:					
OFFICE SUPPLIES	7110	_____	_____	()	_____
COMPUTER SUPPLIES	7115	_____	_____	()	_____
INSTRUCTIONAL SUPPLIES	7123	_____	_____	()	_____
SCIENTIFIC SUPPLIES	7124	_____	_____	()	_____
TOTAL SUPPLIES		<u>0</u>	<u>0</u>		<u>0</u>

APPENDIX I

**CAU APPROVED RESTRICTED BUDGET
FORM 405**

PROJECT TITLE: _____
 GRANT NUMBER: _____
 ACCOUNT NUMBER: _____ DATE: _____
 PI/PD: _____ DATE: _____
 V.P. OSP: _____ DATE: _____
 DIR., OGCA: _____ DATE: _____
 Project Period-- Begin Date: _____ End Date: _____ No Cost Extension: _____

		FUNDING SOURCE	CAU COST SHARE UNRESTRICTED	Account No.	TOTAL
OTHER DIRECT COSTS:					
OTHER SUPPLIES	7129	_____	_____	()	_____
CATERING/FOOD PURCHASES	7130	_____	_____	()	_____
BOOKS AND PERIODICALS	7150	_____	_____	()	_____
DUES AND SUBSCRIPTIONS	7161	_____	_____	()	_____
TOTAL OTHER COST		0	0		0
EQUIPMENT:					
EQUIPMENT/EXPENDABLE	7171	_____	_____	()	_____
CAPITAL FURNITURE/EQUIPMENT	7183	_____	_____	()	_____
CUMPUTERS, COPIERS & PERIPHS	7181	_____	_____	()	_____
OTHER CAPITAL EQUIPMENT	7184	_____	_____	()	_____
TOTAL EQUIPMENT		0	0		0
OTHER/GEN & ADMINISTRATIVE:					
RENOVATION/CONSTRUCTION	7215	_____	_____	()	_____
EQUIP REPAIR/MAINTENANCE	7241	_____	_____	()	_____
OTHER COSTS	7610	_____	_____	()	_____
RENTAL/LEASE EQUIPMENT	7620	_____	_____	()	_____
SPECIAL ACTIVITIES	7665	_____	_____	()	_____
TOTAL OTHER/GEN & ADMIN		0	0		0
COMMUNICATION:					
TELEPHONE	7705	_____	_____	()	_____
PRINTING AND DUPLICATION	7720	_____	_____	()	_____
POSTAGE	7730	_____	_____	()	_____
UTILITIES	7790	_____	_____	()	_____
TOTAL COMMUNICATION		0	0		0
STUDENT SUPPORT:					
GRADUATE TUITION ASST/WAIVER	7810	_____	_____	()	_____
UNDERGRAD TUITION ASST/WAIVER	7815	_____	_____	()	_____
STIPENDS/GRADUATE	7831	_____	_____	()	_____
STIPENDS/UNDERGRADUATE	7832	_____	_____	()	_____
BOOK SCHOLARSHIPS	7841	_____	_____	()	_____
ROOM AND BOARD	7851	_____	_____	()	_____
TOTAL STUDENT SUPPORT		0	0		0
SUBCONTRACTS:					
SUBCONTRACTS	7910	_____	_____	()	_____
TOTAL SUBCONTRACTS		0	0		0
OVERHEAD:					
INDIRECT COSTS	7991	_____	_____	()	_____
(IDC BASE x RATE):		_____	_____		_____
TOTAL BUDGET:		0	0		0

APPENDIX I

Policy And Procedures for Cost-sharing
Amendment to Clark Atlanta University Policies and Procedures Manual
(August 1998)

CLARK ATLANTA UNIVERSITY POLICY AND PROCEDURES FOR COST-SHARING

APPROVED BY THE PRESIDENT, June 4, _____, 2003;
Effective Immediately

PURPOSE

The University must ensure that cost-sharing requirements of sponsored agreements are proposed, accounted for and reported in a manner consistent with the requirements set forth in federal regulations, primarily the Office of Management and Budget (OMB) Circulars A-110 and A-21. This document clarifies and strengthens Clark Atlanta University's requirements and cost-sharing procedures. Specifically, this document details the procedures for monitoring project-by-project cost-sharing and reporting such cost-sharing to sponsoring agencies. This policy is effective for proposals submitted and awards negotiated on or after **the approval date noted above.**

Introduction

The University should make cost-sharing commitments only when required by the sponsor. Cost-sharing should never be assumed to be a gratuitous gesture. Cost-sharing commitments included in a proposal budget and/or in the text of a proposal are to be reflected on the Office of Research and Sponsored Programs (ORSP) Proposal Routing Sheet. The Provost/Vice President for Academic Affairs and the Vice President for Finance and Administration must approve the proposed cost-sharing commitment in writing. Proposals **may not** be submitted to sponsoring agencies by ORSP or Prospective Principal Investigators unless approvals for these commitments are on file.

The Office of Management and Budget Circular A-21 requires the University to use consistent accounting practices to estimate the cost of a project in the proposal and to accumulate and report the actual costs of the project, including cost-sharing.

A. The Cost-Sharing Policy is intended to:

1. Limit cost-sharing commitments to only those instances where cost-sharing is required by the sponsor.
2. Ensure that the commitments for cost-sharing have been identified and are available.
3. Provide information regarding the contractual, financial, and administrative requirements that result from cost-sharing commitments;

B. Definitions

Cost-sharing or matching is identified as that portion of project or program costs not borne by the sponsor. These costs represent an implied or explicit agreement on the part of the University to ensure that nonsponsor resources are contributed to a project, either from sources within or external to the University.

Cash Contributions are actual funds from internal or external sources. Cost-sharing from the University's resources is generally considered "cash" cost-sharing. This means that a precise dollar amount of expenses can be shown in the University's general ledger.

APPENDIX J

In-Kind Contributions are non-cash contributions, such as volunteer services, space allocation, equipment, etc. As the contribution of these resources is not exclusively controlled by the University, utmost care must be exercised before entering into agreements promising such contributions. Once the project is funded, in-kind contributions should be monitored on an on-going basis to ensure that the cost-sharing agreement is fulfilled. Failure to meet, or adequately document in-kind contributions, could result in the disallowance of a portion of the University-incurred cost. Disallowed costs create an unanticipated financial burden for the University.

C. Cost-Sharing Commitments

Cost-sharing should be limited only to those situations where it is mandated by a sponsor. Where cost-sharing is not required by the sponsor, Principal Investigators or Prospective Principal Investigators should refrain from making such commitments. In all situations, the use of cost-sharing should be kept to a reasonable level.

Cost-sharing may include effort of the PI or other personnel committed to the project at no cost to the sponsor. In order to qualify as cost-sharing, the effort must be necessary and reasonable for the performance of the project objectives.

Cost-shared effort must be directly related to the project's objectives and must not include time spent on administrative or instructional activities (unless specifically stated in the special terms and conditions of an award document).

A program announcement (RFP) or application may include a requirement to cost-share or the sponsor may insist during the negotiation of an agreement on a specific contribution to the project as a condition of the award. In instances where a contribution has been committed, the direct cost dollars of such a commitment will be reclassified from a private or unrestricted account to an established cost-sharing account.

Principal Investigators and Prospective Principal Investigators should commit specific cost-sharing sponsored project budgets only under the following circumstances:

1. Mandatory cost-sharing is specified in a program announcement (RFP) or application package;
2. The project sponsor requires on a specific cost-sharing contribution to the project during the negotiation of an award;

Once awarded, all explicit commitments become mandatory cost-sharing and must be accounted for as a part of the total cost of the project. These costs must be separately identified and reported.

In those instances where cost-sharing is not required as a condition of the award, and less than 5% of an individual's total effort is contributed to the project, the statement "Clark Atlanta University supports salaries of the Prospective Principal Investigator submitting the proposal but makes no specific commitment of time or salary to this particular project" must be inserted in the text of the proposal. This statement ensures the funding agency that the Prospective Principal Investigator will make a contribution to the project but the expected level of effort is not a significant portion of the individual's overall effort.

When preparing proposals, Principal Investigators and Prospective Principal Investigators must be careful not to over commit themselves or others. Since not all proposals get funded, commitments of total effort should be taken into consideration with existing workload requirements and all outstanding proposals.

It is important to realize that when cost-sharing is required by the sponsor or and an award is made all cost-sharing commitments are considered to be mandatory and as such, represent binding obligations of the University.

APPENDIX J

D. Sources of Cost-Share

Cost-sharing may be derived from the following sources:

1. University funds provided for the benefit of the specific project through private or unrestricted accounts.
2. Direct expenses (personnel and nonpersonnel) identified as cost-sharing and the associated F&A.
3. Unfunded or Waived Facilities and Administrative Costs (F&A). Waived F&A costs are indirect costs that are otherwise available to be recovered, but the University has agreed to accept less than the full amount. (This action must be approved by the Provost/Vice President for Academic Affairs and the Vice President for Finance and Administration). The difference between the indirect costs accepted by the University and the amount that would have been provided at the full rate may be used as cost-sharing.
4. Another non-Federal sponsored project. This is rare and allowable and may in some instances require both sponsors' approval. (Note that Federal funds may not be used as cost-sharing on other Federally funded projects).
5. Third-party contributions. This is support from a non-University source.

E. Criteria for Cost-Sharing

All contributions, including cash and third-partying kind shall be accepted as cost-sharing or matching when contributions meet all of the following criteria: (OMB Circular A-110, Section 23)

1. Are verifiable from official University accounting records;
2. Are not used as cost-sharing for any other sponsored program;
3. Are necessary and reasonable for proper and efficient accomplishment of project objectives;
4. Are allowable under the applicable cost principles, OMB Circular A-21;
5. Are not paid by the Federal Government under another agreement.
6. Are incurred during the effective dates of the grant or contract.

F. Acceptable Expenditures

In general, costs normally treated as direct costs and allowable under OMB Circular A-21 on sponsored projects may be used to meet a cost-sharing obligation. Costs normally treated as indirect on sponsored projects may not be used to meet cost-sharing obligations.

Examples of appropriate expenditures which **may** be used as cost-sharing include but are not limited to:

1. Faculty, staff, or student salaries and applicable fringe benefits;
2. Supplies
3. Travel necessary for the project (U.S. air carriers only);
4. Approved overhead (F&A costs) on all allowable cost-shared expenditures;
5. Unrecovered F&A

Examples of expenditures which **may not** be used as cost-sharing include but are not limited to:

1. Unallowable costs under OMB Circular A-21, such as alcoholic beverages, costs of entertainment, including amusement and social activities and any costs associated with such costs;
2. Travel made on foreign air carriers;
3. Fines and penalties;
4. Goods or services for personal use

APPENDIX J

G. Establishing Separate Cost-Sharing Accounts

When the Office of Research and Sponsored Programs (ORSP) initiates a CAU Approved Restricted Budget Form (405) for the sponsored project, the Office of Grants and Contract Accounting (OGCA) will initiate the establishment of cost-sharing companion account(s) in the general ledger. OGCA monitors cost-sharing accounts. The Principal Investigator must identify specific itemized transactions to be reclassified to the cost-sharing accounts (including personnel).

During the period of performance, cost-shared effort that was specified in the award should be reclassified to the appropriate companion account. The amount initially identified as cost-sharing will not be changed during the life of the project unless there is a significant change in the amount of the cost-shared effort or agency requirement.

H. Documentation

When cost-sharing or matching is accepted by the sponsor, it is a commitment of the University. Throughout the life of the project, the ORSP and the Principal Investigator must provide adequate documentation to substantiate the transactions that have to be reclassified to the cost-sharing companion account. OGCA will make the appropriate reclassification entries to the general ledger OGCA will maintain those records and make them available to any auditor or the funding agency as required. The specific type of documentation required is based on the nature of the award, taking into consideration the type of cost-sharing, the terms of the sponsored agreement, and other circumstances of the award.

Faculty, Student, or Staff Effort. When the effort of an employee is committed to an award as cost-share the Principal Investigator is obligated to identify the personnel and the time associated with the effort. OGCA is required to record and report the associated expenditures.

Equipment Used as Cost-Sharing. Equipment may be cost-shared only if title to the equipment is in the University's name and it was acquired with non-federal funds, (i.e. private or unrestricted funds), during the period of the award.

Under federal cost principles, (OMB Circular A-21) universities are allowed to depreciate equipment purchased with non-federal funds. However, if the equipment is purchased in whole or in part with non-federal funds and has been identified as cost-share, the University is not allowed to depreciate this equipment. The equipment that has been cost-shared must be flagged by Accounting so that depreciation will not be calculated on it.

Third-Party Cost-Sharing. CAU may offer as cost-sharing contributions made by third-parties such as subcontractors under its prime award. The contributions may be in the form of time and effort; goods and services or facilities. The ORSP and the Principal Investigator are responsible for securing appropriate detailed documentation reporting such third-party cost-sharing to OGCA.

If a potential subcontractor makes a cost-sharing commitment that appears in the budget of the proposal, the subcontractor is required to maintain records and report the cost-sharing in its financial reports to the University. This requirement should be a part of the terms and conditions on any subcontract agreement issued by the University.

If cost-sharing is provided by a third-party who is not a subcontractor, the ORSP and the Principal Investigator must provide documentation supporting the value of the contributions if other than cash.

Volunteer Services or Donated Property. The basis for determining the valuation for personal service, material, equipment, buildings and land must be accepted by the University prior to entering into an agreement.

APPENDIX J

1. Volunteer services furnished by professional and technical personnel, consultants and other skilled and unskilled laborers may be counted as cost-sharing or matching if the service is an integral and necessary part of an approved project or program. Rates for volunteer services shall be consistent with those paid for similar work at the University. Third-Party volunteer services or donated property will follow similar guidelines.
2. The value of donated land and buildings shall not exceed its fair market value at the time of donation as established by an independent appraiser (e.g., certified real property appraiser or General Services Administration representative).
3. The value of donated equipment shall not exceed the fair market value of equipment of the same age and condition at the time of donation.
4. The value of donated space shall not exceed the fair rental value of comparable space as established by an independent appraiser of comparable space and facilities in a privately-owned building in the same locality.
5. The value of loaned equipment shall not exceed its fair rental value.

I. Units to Contact for Assistance

Questions and/or assistance for cost-sharing in the pre-award cycle for inclusion in proposal budgets should be directed to the Office of Research and Sponsored Programs. Questions pertaining to the post-award cycle should be directed to the Office of Grants and Contract Accounting.

GIFT TRANSMITTAL ADPFEED REPORT

dd-MMM-yyyy hr:min:sec

Systems & Computer Technology
 Advancement To Finance Feed Process
 dd-MMM-yyyy Through dd-MMM-yyyy
 REPORT ONLY

PAGE 1
 ADPFEED

DESIGNATION – CENTR

GIFT TYPE- CA Cash

CR ACCT-
 RULE CD-

ID XXXXXXXX	CONSTITUENT NAME LAST FIRST MIDDLE	CAMP. CMP. NAME	GIFT NO XXXXXXX	GIFT DATE dd-MMM-yyyy	ENTRY DATE dd-MMM-yyyy	USER SEQ XXXXXXX	AMOUNT XXXXXX.XX
	GIFT TYPE TOTAL		X				XXXXXX.XX
	DESIGNATION TOTAL		X				XXXXXX.XX

DESIGNATION – ENDMT

GIFT TYPE- CK Check

CR ACCT-
 RULE CD-

ID XXXXXXXX	CONSTITUENT NAME LAST FIRST MIDDLE	CAMP. CMP. NAME	GIFT NO XXXXXXX	GIFT DATE dd-MMM-yyyy	ENTRY DATE dd-MMM-yyyy	USER SEQ XXXXXXX	AMOUNT XXXXXX.XX
	GIFT TYPE TOTAL		X				XXXXXX.XX
	DESIGNATION TOTAL		X				XXXXXX.XX

DESIGNATION – ENDMT

GIFT TYPE- MG Matching Gift

CR ACCT-
 RULE CD-

ID XXXXXXXX	CONSTITUENT NAME LAST FIRST MIDDLE	CAMP. CMP. NAME	GIFT NO XXXXXXX	GIFT DATE dd-MMM-yyyy	ENTRY DATE dd-MMM-yyyy	USER SEQ XXXXXXX	AMOUNT XXXXXX.XX
	GIFT TYPE TOTAL		X				XXXXXX.XX
	DESIGNATION TOTAL		X				XXXXXX.XX

DESIGNATION- UNRES Unrestricted

GIFT TYPE- CK Check

CR ACCT-
 RULE CD-

ID XXXXXXXX	CONSTITUENT NAME LAST FIRST MIDDLE	CAMP. CMP. NAME	GIFT NO XXXXXXX	GIFT DATE dd-MMM-yyyy	ENTRY DATE dd-MMM-yyyy	USER SEQ XXXXXXX	AMOUNT XXXXXX.XX
	GIFT TYPE TOTAL		X				XXXXXX.XX
	DESIGNATION TOTAL		X				XXXXXX.XX

FINAL TOTAL

XX

XXXXXXXXXX.XX

APPENDIX K

CLARK ATLANTA UNIVERSITY
REQUEST FOR USE OF FACILITIES, EQUIPMENT AND SERVICES FORM

NOTE: FORM MUST BE SUBMITTED AT LEAST 48 HOURS PRIOR TO USE

Organization: _____

Applicant (Please Print): _____ Signature _____

Facility Requested: _____

Description of Event: _____

Date of Event: _____ Time: From _____ TO _____

Equipment Needed:

Chairs _____ Tables _____ P.A. System (Davage) _____

P.A. System (Portable) _____ Piano/Organ (Davage) _____

Other: _____

Account Number for Food Services: _____

Faculty/Staff sponsor who will be present at event: (Print Name) _____

Signature _____ Title: _____

Extension: _____ Office location: _____

AUTHORIZATION Please obtain signatures in the order indicated below):

1) _____ / _____
University Relations *Date* 2) _____ / _____
Dean Of Students (If Student Activity) *Date*

3) _____ / _____
Public Safety *Date* 4) _____ / _____
Registrar's Office *Date*

3) _____ / _____
Special Events Office *Date* 6) _____ / _____
Facilities and Operations *Date*

7) _____ / _____
Athletic Department *Date*

NOTE: A deposit fee is required from external organizations.

The privilege of using the facilities of Clark Atlanta University is granted with the express understanding that the policies of Clark Atlanta University regarding proper conduct will be observed. The sponsoring organization accepts responsibility for the department of its membership and guests. Violations of Clark Atlanta University policy may render an organization ineligible for future use of the facility. Any damages to the facility will be charged to the sponsoring organization.

Distribution:

White: Associate Provost or Demo of Students
Pink: Public Safety

Canary: Food Services (If Applicable)
Goldenrod: Registrar's Office

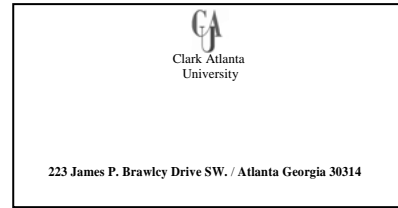
Make a Copy **Facilities, Operations and Maintenance**
Make a Copy **Applicant**

APPENDIX L

BUSINESS CARD ORDER FORM

Please Print All Information

Complete The Following:



Name: _____

Title: _____

Phone: _____ Fax _____

E-mail Address: _____



CLARK ATLANTA
UNIVERSITY

Printing and Duplication Approval Form

Name of Project: _____

Name of Originator: _____

Editorial Release

_____ Date _____ Date _____

Earle D. Clowney
University Editor
(404) 880-6725

Duplicating-related jobs performed outside the CAU Document Center, or printing projects provided outside the approved list will be considered an expense for which the originator will be held personally responsible.