

OAKWOOD UNIVERSITY

ADMINISTRATIVE POLICY MANUAL

2010



FINANCIAL AFFAIRS DIVISION

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Document Title: ACCOUNTING OFFICE REQUISITION PROCESSING
Category: Accounting
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

REQUISITION PROCESSING

1. Employees should check their department's budget to see if funds are available for the purchase requested.
2. Requisitions are received from the Bookstore clerk—#7066
3. Employees should determine the vendor for the purchase, and type all information on the requisition, including all of the following, or it will be returned:
 - Department name
 - Account number and name
 - Vendor name and contact person
 - Quantity, description, and cost of each item
 - Source of funds: institutional, federal, or other (should be specified)
 - Request for: purchase order, check, or journal entry (JE)
 - Signature of department head and vice president of the employee's department
4. The requisition is forwarded to the Accounting Office, which stamps and logs the receipt of the requisition and checks for available funds. If everything is in order, it is processed within 24 hours.
5. All requisitions are signed by an accounting staff person.
6. Purchase orders are signed and printed in the Accounting Office and then returned to the department.
7. Requisitions for checks need to have original documentation showing the purchase to be made.
8. Requisitions for interdepartmental purchases are distinguished by checking "Other" and typing JE (journal entry). They are then stamped for verification and initialed by the department requesting the service or product.
9. If there are any questions about the source/account number other than general funds, employees should call the Accounting Office.
10. Petty cash purchases/requisitions not authorized or approved are personal purchases.
11. Requisitions submitted to Accounting on Wednesdays, Thursdays, and Fridays are processed on Mondays; requisitions submitted Mondays and Tuesdays are processed on Wednesdays.
12. Checks are available on Tuesdays and Thursdays after 4:30 p.m.
13. Checks that have been available and not picked up within seven days are voided.
14. The appropriate vice president should be contacted before information is requested about a requisition. Accounting may be contacted on Monday and/or Wednesday.
15. All invoices should be addressed to accounts payable for payment.
16. Vendors should not be given a requisition number for a purchase order number.

EXCEPTIONS

1. If a vendor does not currently appear on the vendor list, the employee may submit a credit application to the Accounting Office.
2. Pro forma invoices (payment due on demand) are used to establish or reestablish credit with a vendor.
3. Independent contractors/self-employed workers not on the Oakwood University payroll must have their name and Social Security number included on the requisition for IRS 1099s.
4. Honorariums/stipends received by employees are forwarded to payroll; honorariums for non-employees must include name, Social Security number, and address for 1099 processing.
5. Receipts used for reimbursement must be original for payment to be made.
6. A second requisition for payment of a purchase order should not be submitted

DEPARTMENTAL CHARGES

All interdepartmental charges must be posted on a monthly basis. This information should be received in the Accounting Office on the twentieth of the month.

Each charge must be supported by an appropriate document (e.g., a signed requisition or meter reading, telephone bills, etc.).

Departments submitting interdepartmental charges are:

- Campus Communications
- Computer Center
- LETC Commission
- Mailroom
- Physical Plant
- Purchasing/Copy Center
- Transportation
- All departments requesting transfers and/or submitting duplicating charges

Document Title: ACCOUNTING FOR GRANTS AND CONTRACTS
Category: Accounting
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

The Office of Sponsored Programs is the financial custodian of all grants or contracts. Therefore, it should operate according to the following policies:

Forward all budget and other financial information for each grant or contract to the federal accountant and document as follows:

- Thoroughly review and approve all personnel requisitions, including students.
- Verify and approve requisitions according to grant or contract specifications.
- Maintain budget control and account balances.
- Open an account for record keeping and periodically reconcile account.
- Periodically reconcile grant or contract accounts with the federal accountant.
- Have three bids on file for capital items of \$5,000 and above.
- Verify and approve transfers according to grant and contract specifications. Keep all letters, memos, and other such documents on file.
- Keep a record of all equipment purchased and valued at \$500 or more.

Document Title: BANK RECONCILIATION
Category: Accounting
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] Revision Dates [] Replacement [] Addition

To ensure accuracy and timely issuance of bank reconciliation, the following items are needed:

- Monthly bank statement
- Cleared checks
- Outstanding check list for the month
- General ledger balance for the month
- Receipts for the month (no receipts for market or payroll banks)
- Detail for the month
- Master bank statement (for market bank)
- Copy of the net card summary from First Tennessee Merchant (market bank)
- Void checks (payroll bank) - see payroll accountant

Document Title: CELLULAR PHONES
Category: Accounting
Number:
Effective Date: January 1, 2002
Authority: VP for Financial Affairs
Document Status: [11/2008][][] [] Revision Dates [] Replacement [] Addition

IN GENERAL

University equipment shall be used only for University business. On occasion, and only if it does not interfere with University operations, University equipment may be used for activities in support of other public agencies, community functions and/or promotional events, which result in enhancement of the University's goals or of the University's public image

PURPOSE

The purpose of this Operating Policy/Procedure is to establish University policy regarding the use, procurement, and possession of cellular phones..

POLICY/PROCEDURE

Procurement

The President shall determine who will be assigned cellular phones and establish departmental procedures for procurement of cellular phones. Procurement of all cellular phones shall be coordinated through Accounting or a designated department.

The policies used in determining which employees are to be assigned cellular phones and the procedures for procurement of University cellular phones are to be reviewed and approved annually by the President.

Safekeeping

Each employee shall be responsible for the safekeeping, care, and custody of the cellular phone that the University has provided an allowance for purchase thereof.

Acquisition of a Cellular Phone

Because the IRS substantiation requirements are time-consuming and administratively costly, eligible employees can receive up to a \$250.00 taxable bi-annual allowance to purchase an individually owned cell phone or device.

Administrators and staff whose positions require the frequent need for a communications device may receive a biweekly-taxable allowance to cover business related costs associated with owning the device.

Criteria for Acquisition of a Cellular Telephone

1. There must be demonstrable, documentable need for an employee to receive a cellular phone allowance. Examples of justification for a stipend are:
 - An employee is required to respond to critical system failures or service disruptions;
 - An employee is required to have immediate communications capability to protect the safety of students, faculty, staff or the general public;
 - An employee routinely travels off-campus on University business;
 - When use of other communication apparatuses (including pay phones) or pagers are impractical and/or cost ineffective for the need.
2. The President shall approve the issuance of a University cellular phone.
3. Employee must maintain service with the University's preferred vendor as selected by the President. Currently the vendor is Verizon Wireless. Verizon Wireless will assist employees in transitioning from University cellular phone contracts to individual contracts.

4. Taxable Bi-Weekly Allowance

<i>Administrators (Who travel more than 25% of fiscal year)</i>	<i>\$70.00 bi-weekly</i>
<i>Administrators (Who travel more than 25% of fiscal year)</i>	<i>Wireless Cost of Device</i>
<i>Other Administrators</i>	<i>\$50.00 bi-weekly</i>
<i>Approved Department Directors</i>	<i>\$40.00 bi-weekly</i>
<i>Employees on Call 24 hours</i>	<i>\$40.00 bi-weekly</i>
<i>Employees who travel more than 25% of fiscal year</i>	<i>\$40.00 bi-weekly</i>
<i>Employees on call 8-12 hours per day</i>	<i>\$30.00 bi-weekly</i>
<i>Other employees granted phones by unit director</i>	<i>\$25.00 bi-weekly</i>

Exceptions to the bi-weekly allowance may be approved by the President.

5. Allowances will be paid as part of the employee's regular paycheck and the cost will be charged to the employee's respective departmental account. The allowance is taxable income. Therefore, the employee will be taxed in accordance with IRS regulations. Payment of such taxes is the responsibility of the employee. The allowance is supplemental pay and is not part of the employee's base pay.

The phones are the property of the employee and the plan with the carrier is between the carrier and the employee, not the University. Since these phones are the property of the employee, they may be used for personal calls. Termination of employment with the University does not release the employee of their financial obligation to the carrier.

Under this method there will be no monthly documentation requirement for the employee to track and substantiate business versus personal use.

Other Stipulations

1. Oakwood University reserves the right to discontinue an employee's allowance if there is insufficient budget to meet the cost of the bi-weekly allowances or if the employee's duties no longer qualify for a cell phone allowance, or at the discretion of the President or Unit Vice President.

2. Oakwood University requires employees to comply with all applicable laws while driving. Use of the phone or device in any manner contrary to local, state or federal laws will result in the immediate termination of the cell phone allowance.
3. Stipends should be terminated at the same time employment services are terminated. Stipends are tied to employee's primary job. Presidential authorization is required if employee changes primary job.

Document Title: FIXED ASSETS
Category: Accounting
Number:
Effective Date: July 1, 2005
Authority: VP for Financial Affairs
Document Status: [10/ 2006][] [] [] Revision Dates [] Replacement [] Addition

POLICY FOR FIXED ASSETS

Property, Plant and Equipment represent important asset values of an organization, and the actual physical presence of the asset should be compared periodically with the book record. Therefore, it is imperative that the management of the assets is uniformed, consistent, and accurate.

DEFINITION OF FIXED ASSETS

- At Oakwood University, an item is classified as a fixed asset if it has a total cost of \$2,000 or more and has a useful life of two years or more.
- Annual library book purchases are classified as fixed assets and capitalized at cost.
- Donated items that are used by the institution are classified as fixed assets if the total value is \$2,000 or more.
- Items leased according to capital lease guidelines are classified as fixed assets.
- Administrative software that meets the \$2,000 cost guidelines are also classified as fixed assets.

ACCOUNTING FOR FIXED ASSETS

- Oakwood University owns the assets, but the care, upkeep, and accountability of them are the responsibility of the department user.
- Upon payment of an asset, the Fixed Asset Accountant will assign an identification number, physically tag the asset, and gather other key information that may be necessary for accurate record-keeping.
- Moving an asset from one department to another must be coordinated with the Fixed Asset Accountant through the completion and submittal of an approved Equipment Moving Form.
- Disposal of an asset; whether by sale, trade-in, storing, junking, or theft, must be documented by the completion of an Asset Disposal Form. This form must be approved by the Division Vice President and submitted to the Fixed Asset Accountant for appropriate accounting entries.
- NOTE THAT ASSETS PURCHASED WITH FEDERAL AND OTHER RESTRICTED FUNDS USUALLY HAVE CERTAIN RESTRICTIONS ON THEIR ABILITY TO BE TRANSFERRED OR DISPOSED OF. THE DIRECTOR OF TITLE III MUST APPROVE ALL DISPOSALS OR MOVES OF ASSETS PURCHASED WITH TITLE III FUNDS.
- THE DIRECTOR OF SPONSORED PROGRAMS MUST APPROVE ALL DISPOSALS OR MOVES OF ASSETS PURCHASED WITH OTHER RESTRICTED FUNDS.
- The institution conducts a campus-wide physical inventory of assets at least every two years. Each department head must accurately account for all assets charged to his/her department and document all exceptions, such as disposed or moved equipment still charged to the department, equipment transferred to the department not listed, and new equipment not yet listed.
- The Fixed Assets Accountant uses this information to update the accounting for purposes of the annual audit.

- The auditors test our records on a random basis and it is imperative that the inventory records agree with the physical check. It is also imperative that we receive an inventory report from all departments.

ESTIMATED USEFUL LIVES OF FIXED ASSETS CLASSIFICATIONS

For purposes of depreciation the institution groups assets in a number of classifications and assigns a useful life to each classification. The following table gives our current classification and assigned useful life:

Classification	Useful Life
Buildings	35 – 50 years
Buildings/land improvements	20 years
Library books	10 years
Machinery	10 years
Furniture, equipment and appliances	7 years
Carpeting	5 years
Vehicles	4 years
Computer, software and AV equipment	3 years
Land	Not depreciated

Document Title: MONEY COLLECTION
Category: Financial Affairs
Number:
Effective Date: October 1, 2006
Authority: VP for Financial Affairs
Document Status [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

Strong internal controls for money collection are necessary to prevent mishandling of University funds and are designed to safeguard and protect employees from inappropriate charges of mishandling funds by defining their responsibilities in the cash handling process. The University's Money Collection Policy requires that areas receiving cash be approved by the Vice President for Financial Affairs and be designated as cash collection points. A cash collection point is defined as a department or other entity that handles cash on a regular basis. Although departments and other entities with casual cash collections are not recognized as cash collection points, they must follow the same cash handling policies and procedures that apply to the cash collection points.

All collections are received by the cashier in the Bursar's Office located in the Office of Student Accounts. No individual or department of the University may collect money without the authorization of the Vice President for Financial Affairs.

Money is defined as cash, checks, credit cards, money orders, bank drafts, wire transfers, and ACH withdrawals and transfers.

Required procedures for cash collection points include the following:

- Accounting for cash as it is received.
- Adequate separation of duties which includes money collecting, depositing and reconciling.
- Proper pre-numbered receipts given for any money received.
- Approval of any voided money receipts by department chair/director.
- Deposit of money promptly at the University Bursar's Office into an authorized University account.
- Reconciliation of validated Receipt Transmittal Forms to supporting documentation and to the account summary in CARS.
- Approval by the Vice President for Financial Affairs of any changes in money handling procedures.
- Proper safeguarding of money.

Bank Accounts

The use of checking or other bank accounts by University personnel for depositing University money is prohibited. The Controller's Office will conduct periodic reviews of money handling procedures. Departments not complying with approved procedures may lose the privilege to serve as a money collection point.

Who Should Know About This Policy

Any administrator or department chair/director with responsibilities for managing receipt of University money and those employees who are entrusted with the receipt, deposit and reconciliation of money for University related activities.

Establishing Cash Collection Points

The Vice President for Financial Affairs must authorize all cash collection points. Before collection begins, departments requesting status as a cash collection point must submit a request to the Vice President for Financial Affairs that includes:

- Reason(s) why cash collection point is needed.
- A list of those positions involved with the cash collection point, a description of their duties and how segregation of duties will be maintained.
- Whether there is a need for a change in advance.
- A description of the reconciliation process, including frequency of reconciliation.
- A description of the process for safeguarding cash until it is deposited at the Bursars Office daily.
- A schedule of how often cash deposits will be made if less than daily.

The request will be reviewed, and if appropriate, approved by the Vice President for Financial Affairs.

Procedures for Cash Collection Points

- The following list of procedures is required for the operation of cash collection points:
- All money received must be recorded through a money register when one is available, or the customer must be presented a pre-numbered receipt form with a duplicate record being retained by the receiving department. All numbered receipts must be accounted for, including voided receipts.
- The money collection point must maintain a clear separation of duties. An individual should not have responsibility for more than one of the money handling components: collecting, depositing and reconciling.
- The funds received must be reconciled to the money register ("Z" tapes) or to the pre-numbered receipts at the end of the day or at the end of each shift. Money must be reconciled separately from checks/credit cards by comparing actual money received to the money total from the money register tape or to the sum of the money sales from the manual receipts.
- All checks, money and credit card receipts must be protected by using a money register, safe or other secure discreet place until they are deposited. A secure area for processing and safeguarding funds received is to be provided and restricted to authorized personnel.
- Checks must be made payable to Oakwood University and must be endorsed promptly with a restrictive endorsement stamp payable to Oakwood University. The endorsement stamps should be ordered through the Bursar's Office.
- Checks or credit card transactions will not be moneyed or written for more than the amount of purchase or service.
- Collections of more than \$500.00 must be deposited to the Bursar's Office within 24 hours, and amounts less than \$500.00 must be deposited no less than weekly.
- All funds must be deposited intact, and not intermingled or substituted with other funds.

- Refunds or expenditures must be paid through the appropriate budget with a University generated check.
- The Bursar's Office will issue a receipt of deposit to be used for reconciliation of the supporting documentation to the deposit and to the summary of account in CARS.

Balancing of Cash Receipts

- All funds collected must be balanced daily, by mode of payment, by comparing the total of the cash, checks and credit cards to the cash register totals, to the pre-numbered receipts totals and to the totals of the money received by mail.
- Over/short amounts must be separately recorded, investigated and resolved to the extent possible.

Preparation of Deposits

- A calculator tape of the checks should be included with the checks bundled together.
- The appropriate account number(s) and sub-code(s) must be included on the Receipt Transmittal Form.
- Someone not involved with collecting the cash, opening the mail or reconciling the deposit must prepare the deposit.
- The deposit must be delivered to the Bursar's Office.

Pre-Numbered Receipts

Pre-numbered receipts will be issued by the Bursar's Office and a log will be maintained that will include the number(s) of the receipts, and the date and name of the person receiving the receipts. The issuing unit should retain one copy of all voided receipts and send one copy to the Bursar's Office.

Exceptions

The Controller's Office must approve exceptions to these procedures. For example, in cases where there is not enough staff available to maintain complete separation of duties, an alternate process to safeguard University funds must be established and approved by the Controller's Office. Requests for exceptions to these procedures must be submitted to the Controller's Office in writing.

Record Retention

All cash receipts and related documents must be maintained in accordance with Record Retention schedules. Cash register tapes, deposit slips, credit card receipts, copies of manual cash receipts, etc. should be kept for ten years.

Document Title: PETTY CASH
Category: Accounting
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [11/2008][] [] [] Revision Dates [] Replacement [] Addition

1. Each department is generally limited to \$50.00.
2. In emergency situations department directors may request up to \$200.00. This request must be approved by the Division Vice President for Financial Affairs or the Controller.
3. A “Department Other Transactions Form” should be completed and should include a complete description of the item being purchased and if applicable the nature of the emergency.
4. The “Department Other Transaction Form” must include the signatures required by the Purchasing Policy.
5. Original receipts and cash under the amount requested must be returned within one week of purchase. If the purchase is greater than \$50.00 original receipts and/or unused cash must be returned in three business days.
6. Petty cash is not usually issued to departments with outstanding receipts. All receipts should be turned in before a department is able to get more petty cash.

Document Title: TRAVEL POLICY
Category: Accounting
Number:
Effective Date: January 1, 2002
Authority: VP for Financial Administration
Document Status [04/2002] [01/01/2014] [] [] Revision Dates [] Replacement [] Addition

I. GENERAL

It is the policy of Oakwood University to reimburse employees who travel at the request of the University for reasonable and necessary expenses incurred while traveling on authorized University business. The implementation of this policy is reflected in the spirit of the guidelines set forth below. In this regard, these guidelines are not intended to replace the good judgment of those responsible for their execution. Circumstances and differences in responsibilities may dictate exceptions. In such cases, appropriate action should be characterized by prudence and a responsibility to safeguard University funds. These guidelines do not preclude more restrictive internal approval procedures which department heads may choose to implement in order to monitor their departmental accounts.

- A. **Necessary and Actual Expenses.** Only actual and necessary expenses of official travel are reimbursed. All travel must be by the most economical route practical and any person traveling by another route, without adequate written justification, must assume any additional expense incurred. When there is an interruption of travel or deviation from the direct route for the traveler's personal convenience, the travel allowance may not exceed that which would have been incurred on uninterrupted travel.
- B. **Official Station.** The official station of an employee is the office and/or campus to which an employee is normally assigned. Transportation costs between an individual's domicile and official station are not allowed.
- C. **Timelines.** To ensure that the University's travel reimbursement policies continue to qualify as an "Accountable Plan" (as defined by Internal Revenue Service guidelines), all travel expense claims must normally be filed within seven (7) days of the date that the expenses were incurred.
- D. **Transportation.** Responsible personnel must ensure that all transportation modes and practices are the most economically obtainable. Travel must be consistent with departmental programs, practical and in the best interest of the University. Transportation arrangements should be made three or more weeks in advance to obtain the best possible rates.

Mileage reimbursement for travel to airports less than thirty miles from the official station may be reimbursed at the approved mileage rate for up to twelve miles (twenty-four round-trip). If it is documented that travel to an airport more than thirty miles from the official station is economically advantageous to the University and if approved by the division administrator mileage reimbursement for travel to that airport may be allowable at the approved mileage rate.

Most vehicles rented while on university business are covered by the University. Reimbursement will not be made for additional premiums paid on rental vehicles. In the interest of safety, rental of 15-passenger vans is prohibited; the University will not allow reservation for such nor are liable for such usage. Ensure all transportation modes are under the OU Insurance Coverage Policy. (If in question, ask HRM). If travel is internationally, outside of the USA and Canada and territories of the USA employee must purchase additional coverage in that local country.

- E. **Reimbursement from Funds Available Through Outside Contract.** If reimbursement is to be made from funds available through a contract between an outside sponsor and the University, and such contract expressly provides a measure of reimbursable travel expense, persons traveling in the service of the University will be reimbursed in accordance with the terms of the contract, but cannot be reimbursed in excess of the amount allowed by University guidelines.

II. TRAVEL AUTHORIZATION

- A. **Travel Authorization.** A Travel Authorization form (Campus Leave) is required for all travel including institution and grant travel.
- B. **Per Diem.** The per diem includes all charges for meals, gratuities to restaurant employees, laundry, and other items where allowable. On the day of departure and the day of return employees may be reimbursed for up to three-fourths the approved per diem. Family per diem may be authorized once annually when pre-approved by division administrator. Family per diem if approved applies to employees traveling with spouse and/or child/children under the age of 24. The current per diem regulations can be accessed on-line at: <http://www.oakwood.edu/campus-services/accounting>.

If an employee does not wish to receive the per diem (in full or partial) he/she must state in writing that they voluntarily forfeit the allowed per diem.

- C. **Privately Owned Vehicles.** Mileage in lieu of actual transportation expenses may be reimbursed on a per mile basis. The current mileage rate can be accessed on-line at: <http://www.oakwood.edu/campus-services/accounting>.
- D. **Receipts.** Original receipts should be obtained whenever possible for any travel expenses, but are required for all registration fees, air fare, rail and bus fare, gasoline and oil purchases for rental vehicles, and for any other expense greater than \$10.
- E. **Early Departure or Late Returns.** Travel request should include dates necessary to complete authorized University business. A memo is required to justify an employee leaving on an early travel date or returning late. The justification should document the reduction in the total travel costs and should be economically advantageous to the University.
- F. **Hotel Expenses.** Hotel expenses should be broken down on a per-day basis. The amount should include the room charge plus any applicable room taxes and should not include any telephone, meal, or parking expenses. The University does not reimburse expenses for movie rentals. If two employees share a hotel room, each employee should record 1/2 of the cost on his/her travel report. The employee who paid for the room should attach the original receipt to his/her travel report. The other employee should attach a copy of the hotel receipt with an explanation that a room was shared and that the original receipt is with the other employee's travel report. If a non-employee shares a room, the employee will be reimbursed for the single room rate only. Hotel maximum rate is \$150/night (excluding taxes and required fees) or the rate of the conference employee is attending. Exceptions must be pre-approved by the division administrator.
- G. **Air, Rail or Bus Fares.** Tickets purchased by the individual cannot be reimbursed until the trip is approved. A receipt from the airline (versus a credit card slip) is required. In most cases airport car rental is disallowed if the conference and hotel are at the same location. Taxi or shuttles can be used for transport to and from the airport.
- H. **Other Allowable Expenses.** The following are allowed for reimbursement:
- The University will provide reimbursement for one checked item at the common carrier's official weight limit. Baggage charges for additional baggage or baggage in excess of the weight carried free by common carriers are allowable if such excess is used exclusively for official business. Storage and handling charges may also be allowed under the same conditions.
 - Gratuities. Tips to taxi drivers, and/or housekeepers are allowable when deemed by administration to be reasonable and necessary. Gratuities claimed as travel expenses should be consistent with levels generally accepted, taking into account geographical location, types of services provided, and any special circumstances. (*limit \$30.00 per trip*)
 - Portage. Reasonable expenses for baggage handling services are allowable for delivery to or from a common carrier and delivery to or from a lodging accommodation. (*limit \$30.00 per trip*)

- Registration Fees. Payment of registration fees, which are required as admittance fees for participation in meetings, are allowable. Meals included as part of the registration fee may not be claimed separately. Organizational membership dues, as distinguished from registration fees, shall not be processed for payment as travel.
 - Wi-Fi, Telephone and Facsimile. Expenses for necessary official Wi-Fi, telephone and facsimile services are allowable. Whenever possible, telephone calls to an activity's central office shall be made via the telephone service that is economically advantageous to the University. (*limit \$30.00 per trip*)
 - Airport parking for Huntsville Airport is reimbursed up to the rate of \$8.00 per day for maximum of \$80.00 per trip.
 - Hotel parking is reimbursed up to the rate of \$30.00 per day for a maximum of \$210.00 per trip.
- I. **Non-Allowable Expenses for Travel.** The University does not provide reimbursement for the following list of items (the list is not all inclusive):
- Alcoholic beverages
 - Personal phone calls
 - Items without receipts
 - Unauthorized spending (books, gifts, etc.)
 - Payment of mileage rate when renting a car (If you drive a car, you can receive either the mileage rate or reimbursement for gas, not both. If you rent a car, the original receipt for gas and car rental should be turned in for reimbursement only.)
 - Items that are not included on the Campus Leave form
 - Unauthorized entertainment and hospitality expenses
 - Unauthorized trips
- J. **Signature Requirements.** All travel to be reimbursed by Oakwood University must be approved on a Travel Authorization form (Campus Leave) in advance by the appropriate department supervisor, and division administrator. Employees may not approve their own reimbursement.
- K. **Interrupted Travel.** If there is an interruption of travel or deviation from the direct route for personal reasons, the reimbursement will not exceed that which would have been allowed if the travel was not interrupted. Any deviation must be explained in writing and attached to the travel voucher so that the correct amount of reimbursement can be determined.
- L. **Expenses Paid on Behalf of Others.** It is not permissible to include expenses paid on behalf of others on an employee's travel reimbursement voucher. Each traveler must report his/her own expenses.
- M. **Foreign Travel.** Procedures for foreign travel are the same as for travel within the United States.
 . The conversion rate should be documented via receipts and must be shown on the travel voucher. Persons traveling under federally funded accounts should be aware of and adhere to U.S. Flag Carrier regulations (FAR 47.4).
- N. **Multiple Location Travel (back-to-back travel).** Employees should complete a separate Campus Leave and Travel Expense Report for each location when combining multiple trips.
- O. **Class or Student Travel.** Student may travel, only, under the supervision of a university employee. OU employee will add student travel expenses to his or her travel request for approval and reimbursement. Employee may request the following for student travel:
- **Per Diem:** (See section on per diem) (Student signature is required and should be attached to Travel expense report to verify receiving per diem.)
 - **Meals:** A department may choose to buy student meals and not verify and distribute per diem to the student. However, receipts are required for reimbursement.

- **Other:** all other arrangements for students that require funding should be included on the travel request for approval and reimbursement of an OU employee.

P. Lodging with Relatives or Friends. Oakwood University encourages employees to stay with friends, relatives or colleagues when traveling on university business, when appropriate. In consideration, Oakwood would like to thank the host/hostess with either a gift or check. The distribution is as follows:

OU will allow a gift (ex. meal, gift basket, flowers, etc), or gift card same as cash, for up to 5 nights at \$10 per night stay (or \$50). Receipts are required for reimbursement.

Or request a check from Accounts Payable at \$10 dollars per night; attach a Travel Report, and a completed W9 to process payment host/hostess after trip.

Document Title: TRAVEL REPORTS
Category: Accounting
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [10/2013] [] **Revision Dates** [] **Replacement** [] **Addition**

PROCEDURES AND POLICIES FOR COMPLETING A CAMPUS LEAVE

1. Begin process for trip **SIX WEEKS IN ADVANCE**.
2. Create Campus Leave On-line (OU Travel tab) for entire trip (Airplane, car rental, per diem, etc.)
3. Create Requisition On-line with the entire trip amount (Total from Campus Leave), and attach Campus Leave to requisition.
4. Submit request for approval.
5. Purchase Order created (One will be sent to OU Agency w/Campus Leave)
6. Login on OU Travel on-line reservation (Need authorized PO to make reservation) or other website.
7. Create on-line reservation for airfare, car rental and/or hotel. If conference/convention hotel is not listed, contact OU travel agent for direct booking or find competitive rates on-line or via an alternate source.
8. OU travel agent will process trip arrangements based on receipt of an authorized University PO verification.
9. Requisitioner should email PO with attachment to acctravel@oakwood.edu and check writer will create e-pay within three (3) business days for Other Expenses: per diem, baggage, mileage, etc. All payments to OU employee will be done via electronic payment to the primary account designated in Payroll until another account information is given to update the employee e-pay file. (See check-writer for updating).
10. If a separate payment is needed for registration, please attach memo with Vendor Name and Number with amount to the Purchase Order documentation sent to acctravel@oakwood.edu for vendor payment.
11. OU is responsible for reimbursing only the items listed on the approved Campus Leave and/or Purchase Order.

PROCEDURES AND POLICIES FOR SUBMITTING TRAVEL REPORTS

General steps for turning in travel reports:

1. Travel Reports are due in the Accounting Office within seven working days following an employee's trip.
2. Travel Reports should be filled out completely and all original receipts should be attached.
Travel Reports should not be turned in without the following signatures or it will result in a delay on reimbursements: employee, department head, and division head. To expedite the reimbursement, create a requisition for a check (CK) for the amount of the reimbursement from the Travel Report. Or drop-off travel report at Accounting Distribution.
3. Employees should allow a week to ten days for any reimbursements (due to the volume of reports being submitted).
4. Any reimbursement to the school must be paid and receipted with the cashier, and the original receipt should be attached to the Travel Report before submitting to the Accounting Office. No money should be turned into Distribution Center at any time.

GENERAL INFORMATION IN REFERENCE TO TRAVEL REPORTS

Any reimbursement to the school must be paid and receipted with the cashier, and the original receipt should be attached to the travel report form before submitting it to the Accounting Office. No money should be turned into the Accounting Office at any time.

Reimbursement is not given for the following:

1. Items without receipts
2. Unauthorized items (books, gifts, etc.)
3. Travel to the airport for out-of-town trips
4. Mileage is not paid when renting a car. Original receipts for gas and car rental should be turned in for reimbursement only. When driving their own car, employees may receive either mileage or have gas receipts paid, but not both.
Payments for gratuities will not exceed \$5.00 a day, with the exception of authorized luncheons and dinner meetings.

Travel Report forms are supplied by the Accounting Office.

Document Title: BUDGETING PROCESS
Category: Budget
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

The Oakwood University fiscal year runs from July 1 to June 30, and an annual budget is developed which clearly identifies income and expenses. Each cost center follows a budgeting process which allows input from faculty and staff.

The following timetables are used in developing the University budget.

1. October: Budget assumptions are determined by the President and the Vice President for Financial Affairs and presented to the President's Council for approval and subsequently presented to the Finance Committee and the Board of Trustees for approval at their October/November meeting. Budget assumptions categories are as follows:
 - Number of full-time enrolled students
 - Dormitory capacities and rates
 - Tuition rates
 - Board rates
 - Cost-of-living increases for salaries (as voted by the NAD at year-end meetings)
 - Travel allowances (as voted by the NAD at year-end meetings)
2. December 15: The Vice President for Financial Affairs initiates the budgeting process by sending salary information to each administrative officer separated by cost center (department). The salary information consists of the present pay rate, proposed pay rates based on the cost-of-living increase voted by the Board of Trustees at its fall meeting, and the proposed annual salary amount based on the proposed pay rates. Department directors are asked to review this data and submit freezes and/or additional staff with supporting documentation.
3. January 15: Administrative officers return the salary data to the Vice President for Financial Affairs for review by the President.
4. January 31: A budget worksheet is distributed to the administrative officers for their respective departments. The budget worksheet contains the following data:
 - Actual income and expense data for the two previous full years and half of the present year (total of two and a half years of actual data)
 - Annual budget for income and expenses for two previous years and year-to-date budget for the present year up to December 31
 - Budget variances for the two and a half years by year
 - Proposed salary and benefit amounts (totals) for the new budget year
 - Limits to use for increases in general expenses

- Any other information or instruction which would be required by department directors to develop budgets
5. February 28: Department directors are to obtain input from their staffs and use the data provided to prepare a budget proposal by line item to their administrative officer in time for submission to the Vice President for Financial Affairs by this date. The administrative officers determine their process for involvement in development of their respective departmental budget proposals.
 6. March: The President and the Vice President for Financial Affairs meet with each administrative officer during the month of March to review, evaluate, and negotiate his/her proposed budgets. Department directors may be requested to meet along with their administrative officer to provide additional information as needed.
 7. March 31: A final balanced budget is completed for presentation to the Finance Committee and the Board of Trustees. Preparations are made for faculty and staff contracts, subject to final approval by the Board of Trustees.
 8. May: A final budget is presented to the Board of Trustees for approval.
 9. The Vice President for Financial Affairs presents the current financial position, with comparisons of action pertaining to the budget.
 10. Employment contracts for faculty and staff are prepared and ready for distribution by June 1.
 11. The Vice President for Financial Affairs presents the current financial position, with comparisons of actual amounts and budgeted amounts, at each executive committee, finance committee, and Board of Trustees' meeting throughout the year.

Document Title: BUDGET REPORTS AND CONTROL
Category: Budget
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

1. Reports are distributed to department directors generally by the fifteenth of the following month. Department directors develop and follow their own budget review process.
2. A report of negative budget variances is to be prepared by each department director and submitted to their respective administrative officer by the twentieth of the following month for review and approval. The report of negative budget variances requires determination of the reason for and corrective action of the negative variance.
3. Administrative officers are to submit a report of negative budget variances for their division to the Vice President for Financial Affairs by the twenty-fifth of the following month.
4. The Vice President for Financial Affairs is to submit a summary report of negative budget variances for all divisions to the President by the thirtieth of the following month.
5. The Vice President for Financial Affairs gives a financial report to the President's Council on its last meeting of each month (generally the fourth Wednesday).
6. The Vice President for Financial Affairs gives a financial report to the faculty during their business meeting once each quarter.
7. The Vice President for Financial Affairs presents the current financial position, with comparisons of actual amounts and budgeted amounts, at each executive committee, finance committee, and Board of Trustees' meeting throughout the year.

Document Title: PUBLIC SAFETY
Category: Departments: Public Safety
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

The Office Responsible For Public Safety

All state certified officers must receive a minimum of 320 hours of formal instruction at the Huntsville Police Academy. All officers are required to attend an in-service training yearly. Training includes, but is not limited to, legal updates, crime prevention strategies, fire safety, evacuation responses, CPR, first aid, and weapons retention training. Certifications are renewed and updated during these in-service training sessions.

Public Safety Officers' Authority and Jurisdiction

A Public Safety officer is charged with the responsibility of crime prevention and reporting of crimes within our authorized jurisdiction. All state certified officers reserve the right to effect arrests on any and all properties governed by Oakwood University and in the state of Alabama. If minor offenses involving University rules and regulations and not criminal in nature are committed by a University student, Public Safety will refer the incident and individual to Student Services, or other appropriate department.

Criminal offenses may be reported to the local police agencies, and joint investigations may be. The prosecution of all criminal offenses, both felonies and misdemeanors, is conducted at the appropriate state, circuit or municipal court. Public Safety officers work closely with all local, state, and federal law-enforcement agencies.

Crime Reporting

Public Safety complies with the annual reporting requirements mandated in the Higher Education Opportunity Act (Public Law 110-315) (HEOA) that was enacted on August 14, 2008 that reauthorizes the Higher Education Act of 1965.

University Facilities

Each semester all buildings undergo a safety inspection. Lighting surveys of all areas, including parking lots, are conducted periodically.

Public Safety officers may be in attendance of extracurricular activities as the need dictates. Uniformed officers patrol the campus on foot, by golf carts, by bicycles and in patrol vehicles twenty-four hours a day, seven days a week, and 365 days a year. They contribute to the safety and protection of the property of the University, its students, faculty, and staff.

Use of Facilities

Facility use is granted upon written request by an individual or group. The request is approved by the Activity Director, the Vice President for Student Services, Physical Plant Director, the Vice President for

Academic Affairs, Director of Public Safety, and the department building supervisor. Each activity must have approved chaperones in attendance.

Reporting Crimes On/Off Campus

Anyone can report suspicious or criminal activity that occurs on campus and other emergencies by dialing Public Safety Office at 726-7375. When off campus, 911 should be dialed to report emergencies and/or criminal activity.

Drug Policy Statement on Drug-Free Workplace

Oakwood University is committed to providing a drug-free workplace for its faculty, staff, and students. The Drug-free Workplace Act of 1988 requires Oakwood University in Huntsville, Alabama, to provide the following statement of the University's Drug-free Workplace Policy to all of its employees.

1. It is forbidden to manufacture, distribute, sell, possess, or use any controlled substance unlawfully in the University workplace. The term "controlled substance" means any drug listed in the federal statutes and regulation which includes, but is not limited to, heroin, marijuana, cocaine, PCP, and "crack." The term includes "legal drugs" when not prescribed by a licensed physician.
2. Any person employed by Oakwood University must, as a condition of employment:
 - a. Abide by the University's Drug-free Workplace Policy.
 - b. Notify the University, through its Human Resources Office, within five days of his/her conviction under any criminal drug status for a violation occurring in the University workplace. A conviction means a finding of guilt (including a plea of no contest) or the imposition of sentence by a judge or federal court.

Oakwood University provides drug-free awareness programs and makes available counseling and treatment services through its counseling office and other agencies in the Huntsville area.

Student Assistance Program

Oakwood University believes that drug use is illegal and incompatible with healthy human development and learning. Possession, consumption, or distribution of drugs, drug paraphernalia, controlled substances, and all other intoxicants are strictly prohibited on this campus and at all off-campus school-sponsored functions.

Previous Criminal Records

Oakwood University does not inquire as to whether or not a student entering the University has been arrested or convicted of a crime. If such information is brought to the attention of the administration, admittance of the student will be reviewed by the appropriate administrative personnel on a case-by-case basis.

The University employment application asks applicants whether they have been convicted of any criminal offenses other than traffic citations. Employment decisions are based upon the overall records of the applicant, and a criminal record, if relevant to the job in question, is a weighted factor. Some

departments require criminal background investigations for employees seeking employment with the institution.

Residence Hall Security

Safety and security brochures and pamphlets are distributed to all residents. Public Safety conducts fire and other safety drills at least once each semester. On occasion, guest lecturers or video presentations are offered, covering topics such as theft prevention, fire safety, and date rape.

The University maintains a state-of-the-art fire alarm and security system in some buildings. Presently, all residence halls and apartments have smoke detectors. . In the newest residence hall, electronic monitors are placed at all exit doors and monitored by the receptionist at the front desk. In the event of fire in any of the housing units, Public Safety officers are trained to evacuate all residents from the buildings and assist the Huntsville fire and police departments during emergencies.

CCTV surveillance systems are installed in some residence halls to further enhance the safety and security of the students.

Right of Entry

The University reserves the right for a residence hall director, an authorized representative, officer, or administrator to enter a student's room to inspect, to verify residence, and to ascertain the health and safety condition of the room. By accepting a room in the residence hall, the student acknowledges this right of the management. This includes the right to inspect the contents of locked boxes or containers; however, such inspection is done in the presence of the student, except when the safety and protection of the residents is believed to be in danger.

In the event of a tornado warning, persons must go immediately to the designated areas listed below and stay there until a representative of Public Safety advises that the warning is over. When it is not possible to get to a shelter, persons should go to the lowest area of the building. If outside, find a ditch or ravine and lie flat, with the hands shielding the head.

Building

4920 University Square
Anna Knight
Burrell Hall
Carter Hall
Cooper Complex
Cunningham Hall
Edwards Hall
Faculty Road Housing
Ford Hall
Green Hall
Grounds
Gymnasium
Holland Hall
Library
Married Student Apartments
McKee Business & Technology Complex

Shelter

Interior Hallways
Interior Hallways
Interior Hallways
Basement Hallways
Interior Hallways, Auditorium
Basement Hallways
Library Basement
Ford Hall Basement
Basement
Basement Hallways
Moran Hall Basement
Ford Hall Basement
1st Floor Hallways
Basement
Moran Hall or Bathroom
Basement

Moran Hall
Mosley Complex
Natatorium
Oakwood Road White Houses
Peters Hall
Peterson Hall
Physical Plant
Skating Rink/Racquetball Courts
The Market
Wade Hall
West Oaks Apartments

Basement Hallways
Interior Hallways
Interior Hallway Classrooms
Blake Center, Cunningham Hall or Ford Hall
Blake Center or 1st Floor Hallways
Basement Hallways
Transportation Office
Ford Hall Basement
Ford Basement
1st Floor Interior Hallways
Clubhouse Basement

Document Title: MAILROOM INTERNAL
Category: Departments: Mailroom
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

Operational Hours

All mailroom full-time and part-time employees and students must report to work during the official operating hours of the University. The following hours are standard operating hours for the mailroom:

Reporting to work daily:	8:00 a.m.
Window opens for service: Monday	9:00 a.m.
Window opens for service: Tuesday – Friday	8:00 a.m.
Lunch Time	12:00 – 1:00 p.m.
Outgoing mail dispatched for the day	3:30 p.m.
Operations close for the day	5:00 p.m.
Closing time	5:30 p.m.

Clocking In and Clocking Out

Hourly workers are to clock in and out each day including for the lunch hour. Timecards that do not reflect an hour for lunch will automatically be docked one hour for lunch unless prior approval has been submitted.

Overtime

Overtime hours are prohibited unless authorized by the department head and the division officer. It is important that employees punch in and out at the standard operating hours.

Mail Box Rental

Annual mailbox rental for faculty, staff, students and community is \$40.00 Each box can be renewed by paying the rental fee between December 14 and December 23 every year. Any box not renewed within the specified period is rented out by January 4 to the next applicant. After January 4th renewal is subject to additional fee of \$5.00.

Post Office Van Use

The mailroom van is to be used **ONLY** for pick-up and outgoing mail delivery (to and from the U.S. Post Office on Wynn Drive from 8:00 a.m. to 9:00 a.m., and 3:00 p.m. to 4:00 p.m.), in addition to designated campus deliveries. **At no other times should the van be used unless authorized.**

All van drivers must hold a valid state driver's license and be approved by the Oakwood University Transportation Department.

Fuel must be obtained from the designated gas pump at the Transportation Department. Miles driven each day should be written in the Post Office mileage logbook. In the event that gas supply at the Transportation Department is depleted, the receipt of any gas purchased off campus should be brought to the Post Office Manager.

Other Services

- Other services provided by the Oakwood University Mailroom include FEDEX, DHL, and UPS.
- All departments sending FEDEX must come to the Mailroom to complete shipping requirements.
- All DHL and UPS mail must be received at the Mailroom central location by showing ID and signing for it.
- All packages to be mailed must be described fully according to the Homeland Security Mail Aviation specification.
- All departments sending mass mailings must notify Mailroom staff two weeks prior to mailing.

Document Title: PHYSICAL PLANT GASOLINE ALLOWANCE
Category: Departments: Physical Plant
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

1. The Physical Plant authorizes and budgets for specified employees to use personal vehicles to transport supplies to and from work sites. This allowance also covers mileage incurred when travel is necessary to and from local vendors.
2. The director or maintenance supervisor must approve all requests for the gasoline allowance. Names of authorized personnel are forwarded to Fiscal Affairs for payroll disbursement.
3. Newly assigned and authorized personnel are limited to either 22 gallons or one tank-full of fuel per week from the school fuel pumps until payroll disbursement is established.
4. This allowance is not an entitlement and is therefore subject to change, depending upon availability of school provided transportation.

Document Title: PHYSICAL PLANT TOOL MAINTENANCE
Category: Departments: Physical Plant
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

1. Each craftsman is required to bear the financial responsibility for maintaining basic tools of the specific job.
2. All power tools and other special equipment are provided by Oakwood University, including special safety equipment. Craft persons only sign out University-owned tools as needed and return the same to the tool room at the close of each working day. Oakwood University replaces all unserviceable tools as needed except when negligence on the part of the user is determined.
3. Use of personal power tools is prohibited since the University is not responsible for replacement of the same.
4. The director or the maintenance supervisor must approve exceptions to this policy.

Document Title: PHYSICAL PLANT WORK HOURS
Category: Departments: Physical Plant
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

The Physical Plant maintenance work hours for the academic school year are from 7:30 a.m. to 4:30 p.m. Monday through Thursday, and 7:00 a.m. to 12:00 p.m. Fridays. The lunch hour is from 12:00 p.m. to 12:45 p.m. The front office is open from 8:00 a.m. to 5:30 p.m. Monday through Thursday, and 7:00 a.m. to 12:00 p.m. Fridays.

Work hours for the summer schedule are from 7:00 a.m. to 4:00 p.m., Monday through Thursday. The lunch hour is from 12:00 p.m. to 12:45 p.m. Friday's schedule is from 7:00 a.m. to 12:00 p.m.

The first fifteen minutes of each workday are set aside for morning worship. All Physical Plant employees are encouraged to attend. Worship is immediately followed by mandatory operations meetings for all maintenance employees. Emergency work, however, has priority over operations meetings.

The director of physical plant must approve in writing any exceptions to established work hours.

Document Title: PHYSICAL PLANT CONFLICT OF INTEREST
Category: Departments: Physical Plant
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

The Physical Plant does not enter into contractual agreements with staff members for maintenance or other renovation/construction projects in order to avoid conflict of interest or perceptions thereof. There are no exceptions to this policy.

Document Title: TRANSPORTATION
Category: Departments: Transportation
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

Mission Statement

It is the mission of the Transportation Department to function as a support service for the institution providing mobility and accessibility on a daily basis to enhance academic excellence, spiritual growth, and development, with Christian courtesy, to the Oakwood community.

Objectives

The goal is to provide the very best service to the Oakwood family on a basis of need to enhance the education, spiritual, and social programs of the institution in a cost-effective manner.

Programs and Services

The Transportation Department provides shuttle bus service from the main campus to Health Services. The Department provides limited charter van, shuttle bus and coach bus services.

Staff Qualifications And Performance

All staff drivers must be certified CDL operators. They are required to maintain updated medical records, take random drug testing, and keep driving logs as required by the DOT, OSHA, and Risk Management Services.

Vehicle Maintenance

Every worker is responsible for checking the operating status of the vehicles on each tour of duty and file a form indicating the condition and status of the vehicle, the mileage, and the time that the check was made. Safety inspections should be made by the Transportation supervisor, and appropriate reports are initiated to ensure that the vehicles are rendered safe before they are placed back in operation.

Requests for Trips

Requests for trips utilizing the vans or buses must be on a travel request requisition. A cost analysis is based upon mileage, driver's per diem, and the number of days. Appropriate proposals and arrangement for payment are agreed upon prior to the trip.

Charging Process

Students are charged a set fee for mall trips as approved by President's Council.

Document Title: WAREHOUSE OPERATING
Category: Departments
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

Purpose

The Warehouse Services Department exists to assure prompt delivery of packages and mail (intercampus and overnight deliveries), to store and deliver equipment and furniture purchased by the University, and to assist departments with set-ups for special events on campus.

Included in the campus areas that use Warehouse Services are, but not limited to, the following:

- Disposal of equipment and furniture
- Prompt delivery of campus mail and parcels
- Set-up for special events

Disposal of Used Equipment And Furniture

All discarded or used equipment must be sent to the University Warehouse Services for proper disposal, including such properties as desks, chairs, computers, file cabinets, bookshelves, etc. At this point, Warehouse Services personnel decide if such equipment is reusable or if it must be discarded.

When such properties are deemed reusable, they are stored in the warehouse until such time as someone else would need the stored items. The proper disbursement of reusable items is as follows:

- Faculty needs
- Staff needs
- Employees (for personal needs)

Whenever the University receives furniture and equipment donated by outside companies, the needs of the faculty are to be satisfied first, then staff needs, and then other needs. If there are properties left that are not needed, only then will consideration be given to selling Warehouse properties.

Prompt Delivery of Campus Mail And Parcels

In addition to the disposal of used or unwanted items, this department also handles all intercampus postal parcels and packages and express mail, with the exception of that picked up by or delivered directly by the on-campus post office.

Parcels, mail, express mail, and packages are received at Warehouse Services from 9:00 a.m. until 11:30 a.m. from the following companies:

- FedEx (formerly Federal Express)
- UPS
- Airborne Express
- RPS
- DHL

All parcels, packages, and express mail are separated by departments, offices, and dormitories, and logged in a logbook by tracking numbers and departments. Once this is done, all packages and/or boxes are loaded on a van and the delivery process begins, with express mail first and then other parcels. Whenever there is a need to bring mail or parcels back to the warehouse, usually because there is no one in the department to receive them, they are then put in a mail retainer and held until such time as they can be delivered.

When mail is missing or lost, the tracking number placed on each package by the mail carrier will be needed. This number makes it possible to locate the package.

When shipping packages from the Warehouse Services Department, packages should be labeled properly and submitted with a check or money order for the cost of shipping the package. There is a heavy that they must be taken to the U.S. post office to be weighed, Warehouse Services provides the transport.

Set-Ups For Special Events

Set-ups for special events on campus are done by the Warehouse Services department. A written request must be made at least one week in advance of the event. Request forms are available for this in most offices. A sketch of the setup would be helpful in most cases.

Set-ups require extra help most of the time; some require ten to twelve persons. Somebody must pay for the extra help, as Warehouse Services does not have a budget for this.

Also, when special equipment is necessary for setup, the Warehouse Services Department can help only to the extent of getting price quotes. Warehouse Services does not pay for this equipment. When the request is made, the requesting department must also know how additional rental costs will be covered.

Document Title: MISSION OF OAKWOOD UNIVERSITY FAMILY HOUSING
Category: Family housing
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

Oakwood University is committed to equal educational, employment, and housing opportunities for its students, and does not discriminate on the basis of race, color, sex, handicap, or national origin. Therefore, Oakwood will provide adequate and comfortable living accommodations for married and single parents during their academic pursuits. Housing assignments are made on the basis of personal need and order of paid housing application fees.

Terms Of Rental Agreement

Housing arrangements are to be made through the housing coordinator in the Office of the Vice President for Financial Affairs. University housing is available to married and single-parent students taking at least twelve hours of class work per semester. Housing facilities are rented for not less than one semester or one summer session.

Deposit - Applicants for University housing pay a deposit of \$200 to make a reservation. No interest is paid on this deposit. This deposit is held on the tenant's account until the facility is vacated. Before vacating the apartment, residents should give forty-eight hours notice to the coordinator or the manager. When the manager of family housing certifies that the apartment is cleaned and is in a satisfactory condition, and the keys are returned, the deposit is credited to the student account. If the facility is vacated without a move-out inspection, the deposit may be forfeited. All or part of the deposit may be forfeited if the premises are not left in good condition, as determined by the University.

Furnishings - Tenant housing is rented unfurnished. Cooking stoves and refrigerators are in all housing units and may not be moved.

Handicapped - Efforts are made to provide accommodations that meet the needs of the handicapped.

Key Deposit - All keys for the family housing are issued by the housing coordinator. Keys are not to be duplicated by the tenant. Private duplication by the tenant is considered a breach of contract. A deposit of \$5.00 per key is charged and is refunded upon return of the key to the housing coordinator. Rental charges for all facilities begin on the date the keys are issued and end the day the keys are returned, if proper notice has been given.

Misplaced Key - Should the key to the apartment be locked inside or access be needed when the occupant does not have the key, one may be borrowed from the Physical Plant Office. An Oakwood student ID or a valid driver's license must be left with the Physical Plant employee on duty until the key is returned.

Lost Key - A \$40.00 charge is applied for a lost key. This penalty helps cover the cost of rekeying the doors.

Occupancy - All facilities are to be occupied by one family, except for temporary guests. If others, in addition to spouse and children, occupy a facility, prior arrangements must be made with the housing coordinator.

Rent (Monthly) - One month's rent is required before the key is issued. Therefore, rent is billed on the student statement preceding the month due. An intent to vacate notice should be given in writing at least one month before departure. Failure to do so may cause a forfeiture of deposit. Family housing reserves the right to increase rental rates on a 30-day written notice.

Subleasing - Tenants are not permitted to sublease their facility. All arrangements must be made through the housing coordinator.

Conduct Of Tenants

Children - Parents are responsible for their children at all times. Children should not play in other yards unless by permission and should never be allowed to play in the streets. Yards, parking lots, and all premises should be kept clear of children's toys, bicycles, etc.

Skateboards, roller blades, and roller skates are not to be used in the housing area or on the campus.

Commercial Enterprise - No commercial enterprise may be carried on in the housing/parking area. No "For Sale" sign larger than 50 square inches may be displayed. Selling or soliciting of goods or services in the housing area is prohibited. Offenders should be reported to the housing coordinator.

Firearms - Firearms, firecrackers, or other items of explosive nature are not allowed in the family housing. Possession or use of firearms, firecrackers, or other combustibles is expressly prohibited and is cause for immediate eviction.

Liability - Oakwood University is not liable for any loss sustained by occupants through fire, theft, or accident. University insurance covers only the building. The tenant is responsible for the contents of rental property, personal accidents, liability on premises, and medical liability for visitors. Tenants are responsible for damages to family housing property and of others' personal injury and bodily harm caused by them, members of their family, and/or their guests.

Pets - Residents of family housing may not harbor a pet anywhere on the premises—either inside or outside the residence. This includes cats, dogs, ferrets, gerbils, hamsters, squirrels, white mice, and any "exotic" pet. The presence of any animal will be cause for immediate eviction.

Respect for Others - All persons residing in the family housing are expected to conduct themselves in a respectable, neat, and neighborly manner.

It is expected that all residents of family housing will respect the hours of the Sabbath and refrain from creating a secular atmosphere from sundown Friday evening to sundown Saturday evening.

Tenants are to keep the volume of their televisions, stereos, CD players, radios, tape recorders, musical instruments, etc., at a level which will not be offensive to neighbors.

Smoke Detectors - The State of Alabama requires smoke detectors in housing. The provision states:

“It shall be unlawful for any person to tamper with or remove any smoke detector required by this Act, or a component thereof. Any person violating the provisions of this Act shall be guilty of a misdemeanor. Each day on which a violation continues shall constitute a separate offense under this section. This law prohibits the removal of batteries or the disconnecting of the smoke detectors and carries a penalty for this action.”

Alcoholic Beverages, Illicit Drugs, or Tobacco – Alcoholic beverages, illicit drugs, or tobacco in any form are not to be present, used, or exchanged on the premises of the family housing property by tenants and/or guests.

Responsibility For Surroundings

Damage - A charge is made for excessive damage to walls caused by hanging of pictures or other items. No ceiling hangers may be installed to accommodate hanging items.

Entrances - Tenants are expected to keep stairways and foyers clean. The state fire marshal prohibits the storage or hanging of articles in any stairways or entrances.

Appliances - No predisposition of appliances should be made. Stoves and refrigerators are not to be moved, exchanged, or temporarily stored without approval from the manager or housing coordinator.

Lawn - The lawn, landscaping, and trees are cared for by the Grounds Department of Oakwood University. Requests or changes should be made to the manager of housing.

Parking - Parking areas are provided for tenants' personal vehicles not to exceed two per family. Vehicles larger than pickup trucks may not park within the provided parking area. Nothing should be parked on the lawn.

Inoperable vehicles may not be parked in parking areas or on lawns. Such vehicles may be towed away at the owners' expense. No repairs or services to motor vehicles can be done within the housing or parking areas. A temporary parking permit should be obtained from Public Safety when residents have overnight guests.

Property Inside - No alterations are to be made to the facility in any way, including in bathrooms or with temporary showers added to bathtubs.

Tenants are responsible to keep water pipes from freezing. Special precautions should be taken when away during vacations, etc. Tenants are personally responsible for the repair of related damages.

No wood-burning, coal-burning, or kerosene stoves may be used in any facility belonging to the University. Non-compliance with this regulation may result in eviction. Damages caused by candles or other open flames become the tenant's expense.

Kitchen counters are to be protected from hot pots and pans. Cooking stoves and refrigerators are to be kept clean.

Light fixtures are furnished with bulbs upon occupancy. The succeeding replacement of bulbs is the responsibility of the tenant. Floor stains should be removed immediately. If a stain persists, the tenant should contact the Custodial Department for assistance in removal.

Property Outside - No addition to any housing facility may be erected. No shrubbery, fences, canopies, etc., may be added without prior approval from the housing coordinator. Furniture, household goods, or appliances such as freezers, washers, etc., may not be placed outside the building, including on porches.

Shelving - Only shelf paper, which is easily removed without damage to the property may be used—no contact paper.

Speed Limit - The maximum speed limit in the housing area is 15 mph at all times and is enforced by the Public Safety Department. Violators are charged on their account for unpaid fines.

Storage - Nothing is to be stored in hallways or entrances or on the outside of the apartment.

Vehicle Registration - Vehicles owned by occupants of University housing are to be registered with Public Safety. If students wish to park their vehicles on the campus in addition to space at the apartment, a regular parking sticker must be obtained from Public Safety.

Services

Antennas - Antennas may not be attached to buildings or roofs.

Appliances - No washers, dryers, or dishwashers may be installed except where hook-ups are provided by the University.

Complaints - Complaints or grievances may be directed to the manager of family housing or coordinator in the Office of the Vice President for Financial Affairs.

Groceries and Supplies – The University Market is adjacent to the campus and features a market, bookstore, post office, and snack shop.

Mail Service - Mail will be available for pick-up at the University Post Office. Application must be made at the Post Office for a postal box.

Pest Control - Proper care of food is the most effective method of controlling roaches and rodents. The University also provides regular monthly treatment for control of pests. It is expected that all tenants cooperate in making their accommodations available for routine pest control. Notification will be given to the tenant when this is to take place. Should additional service be needed, tenants should contact the housing coordinator.

Utilities - Application for electric service should be made in person at the Huntsville Utilities Office. Two items of positive identification and a deposit as determined by the utility company are required.

Telephone - Application for telephone service may be made at the appropriate BellSouth Office. Individual deposits are determined by the telephone company. The telephone company charges an installation fee.

Waste Management - Dumpsters are provided in convenient locations for garbage from the apartments. All residents are asked to take responsibility for putting waste inside the dumpster and keep the surrounding areas neat and clean.

Work Orders/ Repairs - All work requests must be made to the manager of family housing, who inspects the nature of the requests and fills out the work orders for repairs and submits them to the Physical Plant.

Emergency Repairs – Between the hours of 8:00 a.m. to 5:30 p.m., tenants should call the Physical Plant concerning emergency repairs. After hours, tenants should contact Public Safety.

When inspections are to be made in a tenant's apartment, the tenant is notified in advance.

Document Title: RENT
Category: Family Housing
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

To ensure that the correct tenant is being charged and the accurate managing of rents, the housing coordinator should have the following items sent to the Accounting Office on a monthly basis:

1. A list of current tenants, including their address, move-in date, move-out date, whether they are payroll deducted, if utilities are included with the rent, and the amount of rent due each month.
2. If any of the above items change, this should be communicated with Accounting on an ongoing basis.

Document Title: **FRAUDULENT FINANCIAL ACTIVITIES**
Category: **Financial Affairs**
Number:
Effective Date: **May 1, 2005**
Authority: **V. P. for Financial Affairs**
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

Policy on Fraudulent Financial Activities

Oakwood University recognizes the importance of protecting the assets and interests of the institution against any sort of fraudulent activities. Therefore, a fraud policy is established to facilitate the development of control which will aid in the definition, detection, prevention, tolerance of fraud.

Oakwood University will not tolerate fraud of any form. This policy covers all Oakwood University employees and officers and will be taken seriously and properly investigated.

Definition of Fraud

Fraud is defined as the intentional or willful deception, false representation, misappropriation of financial resources or other unethical practices. The following are examples of some types of fraudulent acts:

- Disclosing confidential information to outside parties
- Falsifying records of expenses and invoices, revenue and receipts or other financial activity
- Destruction, removal or inappropriate use of fixed assets or financial records
- Failure to account for monies collected or received as a custodian
- Authorizing and receiving payments for hours not worked
- Forgery or alteration of documents (checks, time sheets, purchase orders, contract agreements or any financial documentation)
- Embezzlement, misappropriation of funds
- Unauthorized use of University property, plant, and equipment
- Profiting as a result of insider knowledge of company activities

This list is not comprehensive and there are many actions not mentioned herein that constitute fraud as defined in this policy.

Fraud including that which benefits Oakwood University will not be tolerated.

Reporting of Fraud

All employees and officers have an obligation to report suspected fraud or irregularity of any officer, employee, vendor or anyone with any association with Oakwood University. All concerns should be reported to any of the following:

- President
- Provost and Senior Vice President
- Vice President for Finance
- Any Administrative Officer
- Employee's supervisor

All reports will be taken seriously and investigated by the designated administrative officer. If further action is necessary the employee who commits the act of fraud will be subject to disciplinary action, to the extent of termination or legal action, as determined by the Administration and or Personnel Committee.

Any losses incurred as a result of fraudulent activity will be recovered by Oakwood University.

Internal Controls

All vendors, contractors and suppliers must be active, in good standing and authorized to conduct business in Alabama. The University will screen and verify the company or individual status of debarment.

All new employees, including temporary and contractual, are subject to background checks, which can include a criminal background check. The Oakwood University Office of Human Resources will verify all applicant educational credentials and personal references before hiring.

University Administration will conduct periodic internal audits on auxiliaries and independent operations (Copy Center, LETC, Bookstore, Industries).

Oakwood University employees will receive periodic fraud awareness training.

Document Title: MEDICAL TRANSPORTATION POLICY & PROCEDURE
Category: Financial Affairs (Risk Management)
Number:
Effective Date: May 1, 2003
Authority: VP for Financial Affairs/VP for Student Services
Document Status: [10/2003] [] [] [] Revision Dates [X] Replacement [] Addition
Replaced: Medical Emergencies: Infirmery Staff Response and Patient Transport

Purpose

The purpose of this policy is to clarify and streamline the procedures for transporting students, faculty or staff requiring medical or mental health assistance for emergency or non-emergency medical care. This procedure provides administrators and deans with standardized transport procedures.

A. Emergency Transportation of Students

1. Determine the nature and location of the emergency.
Gather pertinent demographic information including:
 - Name, age, date of birth, type of injury or illness
 - Any medications if known, drug or alcohol use
 - Student, faculty or staff
2. Call 911 for any life-threatening or serious injury/sickness
Example of life-threatening emergencies include:
 - Any breathing or airway problems or impairment
 - Open fractures or inability to move limbs
 - Loss of consciousness
3. Notify Public Safety immediately after calling 911

*A campus official (Dean, Director, Chaplain or Administrator) or designee should accompany and/or maintain contact with students who are transferred to the hospital. This will enhance communication with parents or responsible relatives who call for information. These officials will have specific protocols and training in terms of how to handle inquiries.

4. Administer CPR or emergency first aid as required and wait for paramedics and ambulance transportation.
5. During regular work hours 8:00-5:00 call the nurse at Health Services at 726-7220 or the therapist at 726-7131 to notify the respective office of the emergency. Detailed information may be conveyed after emergency personnel are contacted.
6. After hours, deans should call Public Safety after calling 911 for ambulance transportation.
7. **IMPORTANT: “When in doubt call 911”**

B. Non-emergency medical or mental health transportation of students to any medical facility

1. This part of the policy/procedure pertains to students only. Faculty and staff are expected to provide their own non-emergency transportation.

2. Determine the location and nature of the illness or injury.
3. Contact Health Service at 726-7220 or the therapist at 726-7131, to evaluate risk of injury or exacerbation of illness.
4. Call Transportation to take the student to the medical facility.
5. The student should call Transportation when the appointment or evaluation is completed for return to campus.
6. Students should notify a dean if going to the Emergency Room (ER) after hours.

Document Title: FINANCIAL AID
Category: Financial Aid
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [04/2011][][][] **Revision Dates** [][] **Replacement** [][] **Addition**

INSTITUTIONAL PHILOSOPHY OF FINANCIAL AID

Oakwood University believes that the talents, hopes, and ambitions of students are among the most valuable resources this nation possesses. Since today's students are tomorrow's leaders, the Financial Aid Office continues to promote the diversification of student financial assistance for its qualified recipients. The fundamental premise of the institutional program is to provide educational accessibility for students who would otherwise be deprived of a postsecondary education. The following principles have been adopted for the financial aid program administration.

PRINCIPLES

Oakwood University

- Shall make every effort to meet the demonstrated needs of all students at the institution to the extent funding will permit in an ethical manner.
- Shall award all aid on the basis of demonstrated financial need, except where funds are specified for recognition of special talents. Where aid is not based on need and represents a significant portion of institutional assistance, the aid administrator should make every effort to redirect such funds to assist those students with demonstrated need.
- Shall exercise adequate controls to ensure that need-based aid awards do not exceed documented need.
- Shall recognize that the primary responsibility for financing postsecondary education rests with the student and his/her family. Financial assistance from the institution and other sources is only intended as supplementary to the efforts of the family.
- Shall help students seek, obtain, and make the best use of all financial resources available.
- Shall provide in all appropriate literature a clear statement of the actual costs of attendance, which shall include both the direct and nondirect costs.
- Shall inform the student of all conditions under which an award is granted at the time the offer is made.

- Shall respect the confidentiality of student records. Information should be released only on the written consent of the student and/or his/her family, and all policies and procedures should protect the students' rights of privacy.
- Shall oppose the administration of aid to accomplish disciplinary objectives.
- Shall, when preparing funding requests, estimate needs honestly and fairly.

ROLE AND SCOPE OF THE FINANCIAL AID OFFICE

The responsibilities and functions of the Financial Aid Office are multitudinous. It is involved in direct contact with the student clientele and the interdepartmental infrastructure. The office operations involve information dissemination/instruction to the students and administration in the following areas:

- Financial and debt management counseling
- Application processing procedures for Federal Direct Loans and Private Loans
- Title IV fund management
- Federal Pell and campus-based disbursement proceedings
- Record Management
- Student consumerism information and publication
- Information/resource sharing with the critical departments in the student matriculation cycle
- ED reporting cycles/processes
- Institutional committee assignment

FINANCIAL AID POLICY DEVELOPMENT, ISSUES UNDER REVIEW

At Oakwood University, the financial aid policy decisions are made by the financial aid director, the assistant director, and the Financial Aid office staff.

Generic Financial Aid Operating Policies

1. All funds received for the administration of student aid programs shall be managed by the Financial Aid Office.
2. All students requesting Title IV assistance must complete the Free Application for Federal Student Aid (FAFSA) at www.fafsa.ed.gov. Students must also submit all documents requested by the Office of Financial Aid. Campus-based funds will not be committed or disbursed to any student who has not fulfilled this requirement.
3. Students applying for institutional aid are required to complete the FAFSA before institutional funds will be committed to the student.

4. Students receiving assistance in excess of their financial need will have the required elements in their award package adjusted to eliminate the over-award condition.
5. Applicants for federal, state, and non-institutional funds are required to complete the FAFSA.
6. The institution performs thirty percent verification on all applicants for the Title IV programs (all applicants are selected by the U.S. Department of Education). The Student/spouse/parent must submit the following documents before the award letter is generated and funds committed to the student:
 - Base year federal income tax returns
 - Oakwood University Verification Worksheet
 - Alien Registration Card - if required
 - Independent Student Status documentation – if required
 - Veterans benefits/discharge verification documentation (DD214)
 - Any other documentation as requested by the Financial Aid Office

PARTICIPATION IN FINANCIAL AID PROGRAMS: REQUIRED DOCUMENTS AND WHERE LOCATED

1. Program Participation Agreement (PPA)

All schools must enter into a Program Participation Agreement and meet requirements for financial responsibility and administrative capability. An eligible school must enter into a Program Participation Agreement with the department to participate in any SFA program other than the State Student Incentive Grant Program or the National Early Intervention Scholarship Program. The PPA covers the school's participation in the following programs:

- Federal Pell Grant
- Federal Supplemental Educational Opportunity Grant
- Federal Work Study
- Federal Perkins
- Federal Direct Loans

Under the PPA, the school agrees to comply with the laws and regulations governing the SFA Programs. This document can be found in the Office of the Director of Financial Aid.

2. Eligibility and Certification Approval Report granting authorization to participate in Federal Title IV Programs (ECAR)

After the U.S. Department of Education accepts the Program Participation Agreement, it returns to the school an eligibility letter. This letter states the programs the school has been certified for participation in, the location of the school, and any eligible branch campus. In some cases, this letter will also state the length of the period of eligibility. A copy of this letter can be found in the Office of the Director of Financial Aid.

3. Institutions Annual Application to participate in Federal Campus Based Programs (FISAP)

Each year by October 1, all participating schools must submit an application for funds for the next academic year. Failure to submit the application by the October 1 date will result in the institution losing eligibility to participate in the Federal Campus Based Aid Program for the next award year. A copy of this document can be found in the Office of the Director and the Assistant Director of Financial Aid.

4. Fiscal Operations Report (FISAP)

At the end of each award year the institution is required to submit a report of its expenditures from the Federal Campus Based Aid Programs. A copy of this document can be found in the Office of the Director and the Assistant Director of Financial Aid.

5. Federal Pell Grant Reports

The institution is required to report all Federal Pell Grant disbursements at least every 30 days. This data is maintained on the Electronic Data Exchange System in the Financial Aid Office. A printout can be generated if it is necessary for the data to be reviewed.

6. Award Authorization Letters

For the Federal Campus Based Aid and the Federal Pell Grant Programs, the U.S. Department of Education provides the institution with an initial and a revised award authorization letter showing the amount of money available for expenditures. Copies of the letters of authorization can be found in the Office of the Director of Financial Aid.

RECORDS MANAGEMENT (FERPA)

To protect the privacy of students and families, federal law sets certain conditions on the disclosure of personal information from records kept by schools that participate in the student financial aid programs. The relevant law is the Family Education Rights and Privacy Act of 1974. Department regulations set limits on the disclosure of personally identifiable information from school records, define the responsibilities of the school, and define the rights of the student in reviewing the records and requesting a change to the records. A school must give the student the opportunity to inspect and review his or her educational records, but does not have to provide copies of the records unless the requirement that the student come to the school to inspect and review the records would effectively deny access to the student. The regulations apply to all educational records the school keeps, including admissions records and financial aid records pertaining to the student. The FERPA regulations also establish rules governing the disclosure of student information to parties other than the school. Several of these conditions are of particular interest to the Financial Aid Office.

- Disclosure may be made to authorized representatives of the U.S. Department of Education, the Office of the Inspector General, or state and local education authorities.
- Disclosure may be made if in connection with financial aid that the student has received or applied for (e.g., the Immigration and Naturalization Service or the Federal Bureau of Investigation).
- Disclosure may be made to the student's parents, if the student is a dependent of the parents, as defined by the Internal Revenue Service.
- Disclosure may be made to the organizations that are conducting studies concerning the administration of student aid programs on behalf of educational agencies or institutions.

Length of Time Records Must Be Maintained

The Improving America's Schools Act of 1994 amended the General Education Provisions Act to require a school to keep records for three years rather than five years. The regulations are effective July 1, 1997. The starting point for the three-year period is not the same for all records.

A school may be required to retain records for longer than three years if the records are involved in any loan claim or expenditure questioned in any student financial aid program review, audit, investigation, or other reviews.

General Records the School Must Maintain

The school must maintain records for each SFA recipient that include, but are not limited to:

- The Student Aid Report (SAR) or Institutional Student Information Record (ISIR) used to determine a student's eligibility for SFA funds.
- Application data submitted to the department, lender, or guaranty agency by the school on behalf of the student or parent.
- Documentation of each student's or parent borrower's eligibility for SFA program funds (e.g., records that demonstrate that the student has a high school diploma, GED, or the ability to benefit).
- Documentation of all professional judgment decisions.
- Financial aid history information for transfer students.
- Cost of attendance information.
- Documentation of a student's satisfactory academic progress.
- Documentation of a student's program of study and courses in which enrolled.
- Data used to establish the student's admission, enrollment status, and period of enrollment.

- Required student certification statements and supporting documentation.
- Documents used to verify applicant data.

Documentation relating to each student's or parent borrower's receipt of SFA program funds, including but not limited to:

- The amount of the grant, loan, or FWS award; its payment period; its loan period, if appropriate; and the calculations used to determine the amount of the grant, loan, or FWS award.
- The date and amount of each disbursement or delivery of grant or loan funds, and the date and amount of each payment of FWS wages.
- The amount, date, and basis of the school's calculation of any refunds or overpayments due to or on behalf of the student.
- The payment of any refund or overpayment to the SFA Program Fund, a lender, or the department, as appropriate.

Documentation of and information collected at any entrance or exit loan counseling required by applicable program regulations.

- In addition, a school must maintain records that include, but are not limited to:
 - Reports and forms used by the institution in its participation in an SFA program and any records needed to verify data that appear in those reports and forms.
 - Documentation supporting the school's calculation of its completion or graduation rates and transfer-out rates.

Program Records That Must Be Maintained

The program records that must be maintained include, but are not limited to:

- Program Participation Agreement
- Accrediting and licensing agency reviews, approvals, and reports
- State agency reports
- Audit and program review reports
- Self-evaluation reports
- Other records, as specified in regulation, that pertain to factors of financial responsibility and standards of administrative capability

Document Title: AVAILABLE FUNDS
Category: Financial Aid
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [04/2011][] [] [] Revision Dates [] Replacement [] Addition

Federal Pell Grant - a nonrepayable, federally funded grant program for undergraduate students only. Pell Grant awards vary in amount each year and are based on financial need and hours of enrollment.

Federal Supplemental Educational Opportunity Grant (FSEOG) -- a nonrepayable, federally funded and university-based grant program. Awards are made to early applicants who demonstrate the most financial need.

Alabama Student Assistance Program (ASAP) – State-funded grants in varying amounts available to Alabama residents who demonstrate financial need.

Federal Direct Subsidized Loans - subsidized loans, which means the federal government will pay the interest on the loan while the student is in school and during specified deferments. The student must demonstrate financial need to receive this loan.

Federal Direct Unsubsidized Loans - loans that students may borrow regardless of need, but will have to pay all interest and charges.

Federal Direct PLUS Loans - parents of a dependent student may borrow a PLUS Loan to pay for the student's education.

Document Title: COORDINATION OF INSTITUTIONAL SOURCES OF STUDENT AID
Category: Financial Aid
Number:
Effective Date: April 5, 199
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

1. The Financial Aid Office is responsible for the coordination of the departmental scholarships and gift aid throughout the institution.
2. The originating unit (department, administrative offices at Oakwood University) uses the Scholarship/Award Verification Form for the nomination of potential recipients. The chairperson completes the form and forwards it to the Financial Aid Office.
3. Upon receipt of the worksheet/form, the Financial Aid Office determines the student's eligibility status according to federal guidelines. If the recipient is eligible, the Financial Aid Office generates the award certificate and notifies the Accounting Office via a printout and their copy of the certificate/award notice.
4. The Cashier/Accounting Office staff must only post funds that have been cleared by the Financial Aid Office through this process.
5. The Financial Aid Office shall have the authority to include the award on the Financial Aid Award Letter along with the other resources the student receives.
6. A student cannot receive any combination of institutional aid that exceeds their tuition cost per year. If a recipient receives institutional aid and federal resources, a balance of funds will be determined in an equitable manner to prevent an overaward.
7. The Financial Aid Office shall have the authority to make adjustments to an award in accordance with appropriate federal, state, and institutional regulations
8. Departments issuing awards for an academic year should have their Scholarship/Award Verification Worksheets submitted to the Financial Aid Office by June 15 of each year. Seasonal awards that are made later during the year should be submitted at the beginning of each semester.
9. Students who have had their aid adjusted or canceled may appeal the decision of the Financial Aid Office. Appeals must be addressed to the Financial Aid Committee, and students should use the Appeals Form. The Assistant Vice President for Academic Affairs will notify the student of the determination of his/her request.

Document Title: CREDIT BALANCES
Category: Financial Aid
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

Federal regulations require that the University pay the excess student financial aid program funds (the credit balance) directly to the student as soon as possible, but not later than fourteen days after

- The date the balance first occurred on the student's account, if the balance occurred after the first day of class of a payment period.
- The first day of classes of the payment period if the credit balance occurred on or before the first day of class of that payment period.

Also, the law requires that any excess PLUS Loan funds be returned to the parent.

The University is permitted to hold excess funds (credit balances) if it obtains a voluntary authorization from the student or parent. Upon receipt of the authorization to hold excess cash, the school will hold funds for the student or parent in a subsidiary ledger account designated for that purpose. The University will maintain at all times cash in its bank account at least equal to the amount the University holds for the students.

Document Title: FEDERAL FAMILY EDUCATIONAL LOAN PROGRAM--FOR LOAN CANCELLATION OPPORTUNITY
Category: Financial Aid
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [04/2011][][][] Revision Dates [] Replacement [] Addition

The school must notify a student or parent in writing or electronically whenever the school credits the student's account with Federal Direct Loan program funds. The notification must include:

- Date and amount of the disbursement
- The right of the student or parent borrower to cancel all or a portion of the loan
- The procedure and the time by which the student or parent borrower must notify the school that he or she wishes to cancel the loan or a portion of the loan

Once the University has provided notification, if the parent or student wishes to cancel all or a portion of a loan, he or she must inform the University. The University must honor the request if received no later than

- Fourteen days after the date the school sends the notice.
- The first day of the payment period, if the school sends the notice more than 14 days before the first day of the payment period.

If a parent's or student's request for cancellation is received within the time period, the school must cancel the loan and return the loan proceeds. If a parent's or student's request for cancellation is received after the specified time period, the University may, but is not required to, honor the request. Regardless of when the request is received, the University will inform the student or parent in writing of the outcome of the request.

Document Title: HANDLING OF OVERPAYMENT OF AWARDS
Category: Financial Aid
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [04/2011][][][] **Revision Dates** [] **Replacement** [] **Addition**

The University utilizes the following process when an overaward occurs, since circumstances may change after the aid has been awarded and may result in an overaward. For instance, the student may receive an outside scholarship, or the student may want to extend his or her work-study employment. If these circumstances lead to an overaward, the University will adjust the federal student aid in the package as follows:

- A. Federal Pell Grant - no adjustment can be made by the University to this award
- B. Private Loan – if applicable
- C. Federal Direct Program:
 - 1. If the package includes a Federal Direct Unsubsidized Loan or a Federal Direct PLUS loan, the aid package will be adjusted so that all or some portion of these loans replace the EFC, reducing or eliminating the overaward.
 - 2. The second or subsequent disbursement of a Direct Loan should be reduced or canceled.
 - 3. If after the above adjustments have been made and an overaward still exists for a Federal Direct Loan, the University will withhold and promptly return to the lender any funds that have not yet been delivered to the borrower. The University will return the entire undelivered amount or may choose to return only the amount of aid for which the student becomes ineligible.
 - 4. Since the University is not required to return a Federal Direct Loan that is delivered to the borrower before the overaward occurred, the school will choose to exercise that part of the law which does not prevent the school from returning funds that were applied to the student's account, if after counseling the student decides to return them to the lender.

If reducing undelivered Stafford Loans is not sufficient to eliminate the overaward, the University will reduce the amount of campus-based aid that has been awarded to the student. Campus-based aid will not be reduced if the overaward does not exceed \$300.

Document Title: MANAGEMENT OF DATA
Category: Financial Aid
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

The University attempts to maintain data in a format stipulated by federal regulations as follows: all records are to be maintained in a systematically organized manner. A school must keep records in

- Hard copy
- Microform
- Computer file
- Optical disk
- CD-ROM
- Other media format

Regardless of the format used to keep records, all information must be retrievable in a coherent hard copy format (for example, an easily understandable printout of a computer file) or in a media format acceptable to the department. The department will notify the school of acceptable media formats.

Any document that contains a signature, seal, certificate, or any other image or mark required to validate the authenticity of its information must be maintained in its original hard copy or in an imaged media format. This includes tax returns, verification statements, SAR's used to determine eligibility, and any other documents when a signature, seal, etc., contained on it is necessary for the documents to be used for the purposes for which they were retained.

Document Title: PROGRAM AUDITS AND PROGRAM REVIEWS
Category: Financial Aid
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

AUDIT

Federal law requires all Title IV participants to have an independent audit at least once year; an audit includes a school's compliance with the laws and regulations that are applicable to the Student Financial Aid Program and an audit of the school's financial statement. In meeting this requirement, Oakwood University uses the Audit Company of the General Conference of Seventh-Day Adventist Churches. The most recent audit can be found in the Office of Financial Aid and the Accounting Office.

AUDIT SUBMISSION DATE

Beginning with the 1997-1998 award year, the school's annual compliance and financial audit performed under the SFA Audit Guide is based upon the fiscal year and submitted to the department within six months after the end of the school's fiscal year.

PROGRAM REVIEWS

The U.S. Department of Education conducts its own program reviews to identify possible problems in the school's student financial aid administration. A program review covers many of the same areas as an audit, including fiscal operations and accounting procedures as well as the school's compliance with the specific program requirements for student eligibility and awards.

Document Title: REFUND
Category: Financial Aid
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [04/2011][][][] **Revision Dates** [] **Replacement** [] **Addition**

Tuition and fees are refunded as follows:

1 - 7 workdays	100%
8 -12 workdays	90%
13 -17 workdays	60%

No tuition refund is given after twenty-two days of the published registration date.

Room and board charges are refunded on a prorated basis according to the number of days in a semester.

Living expenses are refunded on a prorated basis according to the number of weeks of enrollment completed in a given semester.

One-third of the academic year allowance for books, supplies, and miscellaneous expenses are considered to be used the first day of each semester.

According to regulations, the amount of the refund equals the amount paid for institutional charges for the payment period by financial aid and/or cash payments, minus the amount retained by the institution for the portion of the payment period that the student was actually enrolled at the institution.

***NOTE:** If a student received financial aid from Title IV (Pell, SEOG, Direct Loans), a portion of the refund must be returned to those programs.*

Document Title: REFUND ALLOCATION
Category: Financial Aid
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [04/2011][] [] [] Revision Dates [] Replacement [] Addition

Oakwood University shall allocate Title IV refunds to the following programs using the following priority distribution order:

- Federal Direct Loans
- Federal Perkins Loans
- Federal Pell Grants
- FSEOG
- Other SFA Programs

For those student financial aid recipients who are first-time students and who withdraw on or before the 60 percent point in time of the enrollment period for which they were charged, the University must calculate a statutory pro rata refund and compare this amount to the refund amount from the applicable loan program to determine the largest available refund to the student. If both the state and the accrediting agency policies do not exist or are not applicable, the student's refund is the pro rata refund amount. If the student is a continuing student (not a first-time student) who withdraws, or a first-time student who withdrew after the 60 percent point of the enrollment period for which he or she is charged, the school must calculate the student's refund amount using the applicable state. If the state policies do not exist or are not applicable, the school must calculate the refund under the federal refund policy and the school's policy and provide the largest refund. The University's academic semester is fifteen weeks long; the 60 percent point would be the ninth week.

Document Title: REPAYMENT
Category: Financial Aid
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [04/2011][][][] **Revision Dates** [] **Replacement** [] **Addition**

Repayment is the amount of the cash disbursement that a student must pay back to the school if the student withdraws from school during the enrolled semester (received from Title IV funds, excluding Stafford and PLUS Loan funds).

The repayment policy includes the following noninstitutional costs:

Books and Supplies	Semester allowance expended first day of classes
Room and Board	(Not contracted by University). Determined at an ongoing rate as set in denominational policy.
Transportation	Semester allowance expended first day student arrives on campus during semester period.
Personal and Miscellaneous Expenses	Determined at an ongoing rate as set in denominational policy
Child Care (if applicable)	Determined at an ongoing rate of \$36 per week

A repayment of any unused portion of the above noninstitutional costs paid to the school via Title IV funds (excluding Federal Loans, CWS) must be repaid to the University upon termination of enrollment.

Document Title: SATISFACTORY ACADEMIC PROGRESS
Category: Financial Aid
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [04/2011][] [] [] [] Revision Dates [] Replacement [] Addition

The concept of Satisfactory Academic Progress (SAP) goes beyond good standing to mean evidence of positive movement toward the student's degree. Participating institutions in the Title IV programs are required to establish standards of SAP for students receiving assistance through the following programs:

- Federal Work Study (FWS)
- Federal Pell Grant
- Federal Supplemental Educational Opportunity Grant (SEOG)
- Federal Direct Loans

The SAP policy has two components, qualitative and quantitative.

QUALITATIVE COMPONENT

In the qualitative component, recipients of the federal student financial programs must maintain the indicated cumulative unadjusted GPA for the indicated years of enrollment.

Payment of all federal and state resources will be based upon the student's compliance with the appropriate unadjusted cumulative GPA as indicated in the qualitative component of the SAP policy. Every recipient's GPA status will be reviewed each year at the end of the Spring Semester. Students with ineligible GPAs forfeit all federal and state resources until the unadjusted cumulative GPA is at the appropriate level or until an approval has been received from the appeal process.

During this period, the student must successfully pass the number of hours indicated below with the unadjusted cumulative GPA as stated in the qualitative component.

Classification	Unadjusted Hours Completed	Unadjusted GPA
Freshman	0-29	1.70
Sophomore	30-60	2.00
Junior	61-92	2.00
Senior	93-128	2.00

Graduate students must maintain an unadjusted cumulative 3.00 GPA by the end of 12 attempted credit hours to continue to receive federal financial assistance.

QUANTITATIVE COMPONENT

Once at least 30 semester hours have been attempted, a student's cumulative hours passed must be at least 67% of the cumulative hours attempted. For example, a student enrolling in 15 hours per term for 2 semesters would be required to pass 20 of those hours to retain financial aid benefits. A student enrolling in 6 hours per term for 5 semesters would also be required to pass at least 20 hours. This component will be evaluated at the time of each application. For example, a student who has attempted 60 semester hours must have earned at least a "C" in 40 of the hours attempted.

OVERALL TIME FRAME

Federal regulations require that we track the academic progress of financial aid recipients from the first date of enrollment at Oakwood University, whether or not financial aid was received. Credits transferred from all other credit sources will be considered as attempted and completed credits in the evaluation to the completion rate standards.

Students are no longer eligible to receive Title IV federal assistance after attempting 150% of the published academic program hours. For instance, if the published length of an academic program is 128 credit hours, the maximum time established by the University must not exceed 192 attempted credit hours (that is, 128 x 1.5).

For graduate students, if the published length of the program is 36 credit hours, then the maximum time allowed to complete must not exceed 54 attempted graduate credit hours (that is, 36 x 1.5).

Students whose attempted credits, including transfer credits, exceed the 150% timeframe for any reason will be placed on Financial Aid Denied status, not Financial Aid Probation. No financial aid will be disbursed for the student during subsequent semesters/terms unless the student has made an appeal of the Financial Aid Appeals Committee and the appeal is granted.

Transfer, Summer, Consortium and Transient Hours

Students transferring to the University are assumed to be maintaining reasonable academic progress. All hours transferred from prior or concurrent attendance at other schools will be considered in establishing the class standing for grade requirements, and are integral in determining the overall time frame allowed for financial aid eligibility. GPA's from other University's will not factor into your cumulative GPA at Oakwood University. This method will also be applied to former Oakwood students.

Grades

Courses with non-assigned grades, including withdrawals are considered in determination of the percentage of hours completed toward the degree. Refer to the University Bulletin for the regulations concerning the effect on cumulative hours and cumulative hours attempted. Acceptable grades are A, B, C, D, P. Unacceptable grades are F, I, W, NC, FA, AU, DG, U. All of these grades are considered in evaluating the qualitative, quantitative and overall time frame components.

Loss of Aid Eligibility

According to federal regulations, a student is not allowed to receive further aid from Title IV Student Financial Assistance if he or she does not meet the University's standards of satisfactory progress. Additionally, certain state and institutional scholarships may be rescinded because of failure to make reasonable progress. Certain scholarships awarded by the Office of Enrollment Management will be forfeited immediately when the grade point average falls below a prescribed minimum, which may be stricter than the minimums cited for federal purposes. Students who become ineligible to receive further federal aid will be notified at the address listed on the most recent Student Aid Report (SAR) obtained by the Office of Financial Aid, or a more recent one, if provided by the student prior to the last day of the semester. Students receive first notice of grades, and are held responsible to monitor the cumulative grade point average. All other notices are a courtesy of the University.

REINSTATEMENT

Students who lose financial aid eligibility because of a failure to maintain satisfactory academic progress toward a degree may appeal the decision to the Financial Aid Appeal Committee (with documentation) if they had experienced some unusual circumstances that caused them to perform poorly. Unusual circumstances may include but are not limited to death of a family member, accidental injury, sickness of the student etc. If the student does not fall into this category, he/she will regain eligibility for financial aid after clearing the deficiency and bringing the GPA to the required number; no aid will be retroactively granted.

VERIFICATION OF ENROLLMENT

Students who require enrollment verification for student loan deferment purposes must bring the form or a written request to the Records Office.

TRANSFER STUDENT ELIGIBILITY FOR AID

Transfer students are eligible for federal aid during their semester of attendance at the University, regardless of their GPA from transfer hours.

REPEATED COURSE WORK

Repeated course work will not be considered in meeting the enrollment status requirements for receiving federal funds. For example, if a student registers for twelve hours and four hours are repeated courses, then the student would only receive Pell and SEOG grants for half-time enrollment. The student would be listed as taking eight hours, since the four-hour course is a repeat.

Document Title: STUDENT APPEALS PROCESS TO THE FINANCIAL AID
COMMITTEE
Category: Financial Aid
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] Revision Dates [] Replacement [] Addition

The appeals process can only be utilized for the issues pertaining to the withdrawal and coordination of institutional sources of student aid policies. Students must submit their appeal request on the Appeals Form, obtained from the Financial Aid Office, to the Vice President for Academic Affairs, who will then notify them of the result.

Document Title: STUDENT CONSUMER INFORMATION REQUIREMENTS
Category: Financial Aid
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [04/2011][][][] Revision Dates [] Replacement [] Addition

This section contains data on the basic information for the educational consumer that a school must provide to students. This requirement stresses the importance of providing students with reliable information regarding a school's academic programs, facilities, and financial aid programs.

BASIC CONSUMER INFORMATION REQUIREMENTS

Information about the financial aid programs offered by the University, along with qualifications, can be found in the following documents:

- The *Oakwood University Bulletin*
- The *Student Guide* - published by the U.S. Department of Education
- University Scholarship Listing
- The *Oakwood University Student Handbook*
- Campus Security - The University publishes and distributes this document by September 1 of each year for the benefit of educational consumers.
- The student Right-to-Know Act - This act requires the University to disclose information about graduation rates to current and prospective students and the public
- Loan Counseling - Federal regulations require that before a Federal Perkins, Federal Direct Loan applicant can take out a loan, the student is required to complete an Entrance Interview on line. In addition to Entrance counseling, the University is required to perform exit interview counseling for persons leaving the University (e.g., graduation, withdrawal, etc.). Entrance and exit loan counseling are made available online at www.studentloans.gov by the Department of Education.

DRUG AND ALCOHOL ABUSE PREVENTION

Schools that participate in the campus-based programs must provide information under the Drug-free Workplace Act of 1988, including a notice to its employees of unlawful activities and the actions the school will take against an employee who violates these prohibitions. In addition, the Drug-free Schools and Communities Act requires schools that participate in any student financial aid program to provide information to its students, faculty, and employees to prevent drug and alcohol abuse. The office responsible for meeting this requirement is the Office of Human Resources. The policy which pertains to this requirement can be found in the *Oakwood University Student Handbook* for the information of students.

Document Title: USE OF PROFESSIONAL JUDGMENT
Category: Financial Aid
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [04/2011][] [] [] Revision Dates [] Replacement [] Addition

The University acknowledges that the only areas where the law allows aid administrators to apply professional judgment are

- Independent student status
- Calculation of expected family contribution
- Calculation of cost of attendance
- Satisfactory academic progress
- Denial or reduction of eligibility for Federal Direct loans

The University does not exercise professional judgment to waive general student eligibility requirements or to circumvent the intent of the law or regulations.

Document Title: VERIFICATION OF DATA
Category: Financial Aid
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [04/2011][] [] [] Revision Dates [] Replacement [] Addition

If the ISIR states that it has been selected for review in a process called verification, the student must submit the following documents:

- A signed copy of the base-year federal income tax return to the Financial Aid Office. The base year is the year that precedes the academic year for which aid is being applied.
- Legal or biological parents of dependent students must submit a signed copy of their complete base-year federal income tax return(s) to the Financial Aid Office. If the parent(s) did not and will not file a base year tax return, then they must complete the appropriate section of the Oakwood University Verification Worksheet.
- The Oakwood University Dependent Verification Worksheet must be completed by dependent students and their parent(s). Independent students/spouses must complete the worksheet for independent students. Each section must be completed and signed by the designated family members and returned to the Financial Aid Office.

Document Title: INVESTMENT POLICY STATEMENT
Category: Investments
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [10/1999] [05/2000] [10/2001] [04/2010] Revision Dates [] Replacement
[] Addition

I. INTRODUCTION

Mission Statement

Oakwood University, a historically Black Seventh-day Adventist institution of higher learning, provides quality Christian education that emphasizes academic excellence; promotes harmonious development of mind, body, and spirit; and prepares leaders in service for God and humanity.

Information

Since 1896, Oakwood University has provided students the opportunity to enter its halls of learning in preparation for service to community, country, and the world. The University which provides instruction to approximately 1900 students is regionally accredited by the Southern Accrediting Association of Universities and Schools and the Adventist Accreditation Association. It offers a liberal arts curriculum in a Christ-centered atmosphere.

II. PURPOSE

In general, the purpose of this policy is to outline the goals and investment objectives for Oakwood University's investment portfolio as well as to establish a clear understanding between the Investment Committee Members of Oakwood University, the Investment Advisor and the Investment Manager(s) of these goals. This policy provides the philosophy and strategy that will guide the investment management of the assets toward the desired results. It is intended to be sufficiently specific, to be meaningful, yet flexible enough to be practical.

Therefore, the Investment Policy Statement will:

- establish reasonable expectations, objectives and guidelines in the investment of the Endowment's assets
- set forth an investment structure detailing permitted asset classes and expected allocation among asset classes
- encourage effective communication between the Investment Advisor, the Investment Manager(s) and Oakwood University
- create the framework for a well-diversified asset mix that can be expected to generate acceptable long-term returns at a level of risk suitable to the Endowment

The Policy provides guidance by defining and assigning responsibilities to the Board of Trustees, the Finance Committee, and all other parties involved in the management of the Funds. The Policy provides the long-term objectives of the Endowment Funds and serves as the standard for evaluating investment performance. The Policy also provides guidance concerning the risk tolerance of the Fund and communicates the investment restrictions to be placed on Investment Managers. In addition, the Policy outlines the procedures for policy and investment performance review.

The Oakwood University investment pool consists of the following funds:

- Operating Funds – Those funds expected to be spent in the normal course of business and must remain readily available for daily liquidity.
- Short-Term Reserve Funds (Plant)– Those funds held to meet the fluctuations in income and expenditures on an annual cycle. Generally, these investments will not exceed a 2-year investment period.
- Endowment Funds – Those funds serving as a budget reserve for periods spanning several years. Trust, Annuity, and Scholarship funds fall into this category. Generally, these investments will be invested for periods exceeding ten years.
- Other funds as determined by the Investment Committee

III. PRINCIPLES

The principles by which the Oakwood University funds shall be invested are:

- Investments shall be made solely in the interest of the beneficiaries of the Fund.
- The Fund shall be invested with the care, skill, prudence, and diligence under the circumstances then prevailing that a prudent man acting in like capacity and familiar with such matters would use in the investment of a fund of like character and with like aims.
- Investment of the Fund shall be so diversified as to minimize the risk of large losses, unless under circumstances it is clearly prudent not to do so.
- The Finance Committee may employ upon recommendation from the Investment Committee one or more investment managers of varying styles and philosophies to attain the Fund's objectives.
- Cash is to be employed productively at all times, by investment in short-term cash equivalents to provide safety, liquidity, and return.

IV. OBJECTIVES

Operating Funds and the Short-Term Reserve Funds

- Preservation of capital;

- Provide current income.

Endowment, Trust, Scholarships and Annuity Funds (the “Funds”)

- To provide reserves for emergencies and other projects as directed by the Investment Committee;
- To support other activities and expenditures that the Board of Trustees authorizes;
- To provide for asset growth
- To invest according to the laws, rules, and regulations of the jurisdiction of the State of Alabama;
- To be prudent and balanced according to the prudent-investor rule.

The objective is to earn the highest possible total return (capital appreciation and income return) consistent with prudent levels of risk. At a minimum, long-term rates of return should be equal to an amount sufficient to maintain the purchasing power of these assets and provide necessary capital to fund the spending policy stated below (CPI + 3%). In light of this return requirement, the portfolio should be constructed using a total return approach with a significant portion of the funds invested to seek growth of principal over time. The assets are to be invested for the long term, and a higher short-term volatility in these assets is to be expected and accepted.

It is understood that there can be no guarantees about the attainment of the goals or investment objectives outlined here.

V. SPENDING POLICY

The Endowment's spending policy reflects the fundamental objective of preserving and enhancing the resources of the Endowment, both at present and in the future. Each year, the Investment Committee shall determine a prudent spending percentage in a range of 2-5%, seeking to ensure that the corpus is maintained over the long-term, accepting short-term fluctuations by taking into account the intended duration of the fund, the fund's purposes, economic conditions, expected inflation, investment returns, and other resources of the institution and its investment policy. The long-term spending target is 3%.

VI. TIME HORIZON

The operating assets have a time horizon of less than one year. The short-term reserve assets have a short-term time horizon of less than 2 years.

The time horizon for the Endowment assets is perpetual. For strategic planning purposes, a minimum of ten years will be considered for decision-making purposes. Capital values do fluctuate over shorter periods and the Investment Committee recognizes that the possibility of capital loss does exist. However, historical asset class return data suggest that the risk of principal loss over a holding period of at least three to five years can be minimized with the long-term investment mix employed under this Investment Policy Statement.

VII. ROLES AND RESPONSIBILITIES

The roles of the Investment Committee, the Investment Advisor, and the Investment Managers with regard to the funds are delineated as follows.

Membership of The Investment Committee

The Investment Committee shall consist of:

- The President
- One appointee from the Office of Development
- Two faculty members in business/finance as recommended by the Vice President for Academic Affairs
- One non-Oakwood College person appointed by the Finance Committee
- Two appointees from the Office of Financial Affairs, one whom shall be the Vice President who shall chair the committee

Responsibility of Investment Committee

Oakwood University's Investment Committee, under the direction of the Board of Trustees Finance Committee, is a fiduciary and is responsible for directing and monitoring the investment management of Fund assets and is:

- Responsible for defining and implementing the investment objectives and the policies for the Funds assets.
- Authorized to secure or terminate the services of the investment advisor, managers, custodian, specialist, attorneys, and auditors to assist in meeting its responsibilities and obligations in investing the institution's assets.
- "Approve" a recommended asset allocation target that is developed to provide a specific risk/return objective for the investment funds. The committee should allow sufficient flexibility to accommodate short-term market fluctuations and opportunities and therefore be mindful of:
 - Liquidity. Be sufficiently liquid to meet operating requirements that may be reasonably anticipated.
 - Diversification. Be sufficiently diversified among classes of investments to avoid undue exposure to any single economic sector, industry group, or individual security
- Review and modify from time to time, but at least once every fiscal year, the goals and objectives as well as the investment guidelines and strategies.
- Provide periodic reports to the Board of Trustees Finance Committee reporting on the investment activities of the institution and perform other duties as may be prescribed by the Board of Trustees

The Board of Trustees, while ultimately responsible for investment decisions, has delegated authority over investment decisions to the Investment Committee through the Finance Committee, with the exception of specific limitations described in these statements. Managers will be held responsible and accountable to achieve the objectives herein stated. While it is not believed that the limitations will hamper investment managers, each manager should request

modifications that they deem appropriate.

If such experts employed are also deemed to be fiduciaries, they must acknowledge such in writing. All expenses for such experts must be customary and reasonable, and will be borne by the Fund as deemed appropriate and necessary.

The Vice President for Financial Affairs shall:

- Oversee the day-to-day operational investment activities of the Funds subject to policies established by the investment policy.
- Receive, review, analyze and distribute reports from outside professionals regarding the status of the Funds.
- Issue annual status reports to the Board of Trustees Finance Committee and the Administrative Council.
- Issue annual status reports to certain donors who require such reports.

Responsibilities of the Investment Advisor

The Investment Advisor will be proactive in advising and making recommendations to the Investment Committee regarding:

- Investment Policy
- Asset Allocation
- Manager Research and Oversight
- Performance Evaluation
- Other investment matters and responsibilities of the Investment Committee

Responsibilities of the Investment Manager(s)

Each Investment Manager is expected to act, respect, and observe the specific limitations, guidelines, attitudes, beliefs and philosophies stated herein, or as expressed in any written amendments to these policies.

Discretionary Authority

Unless agreed otherwise, each Investment Manager will act on a discretionary basis subject to the investment objectives and guidelines stated in this Investment Policy Statement and any applicable addendums. The Office of the Vice President for Financial Affairs (the Office) will provide a list of approved designees to each Investment Manager.

Proxy Voting

All proxies will be voted by the Investment Manager(s) in the best interest of the Fund and consistent with the objectives and goals of the Fund and the ethical norms and beliefs of Oakwood University as stated below. In connection with the voting of proxies, the Manager should follow the following guidelines:

- Each proxy should be voted in the best interest of the Fund

- Proxy voting should not be dictated or influenced by the position of others
- Each proxy should be voted unless it is clearly prudent not to do so
- Each proxy should be reviewed on a case-by-case basis
- A record should be maintained with respect to all proxy decisions and the Manager's rationale for voting should be retained and reported periodically to the Office and Investment Committee

- Quarterly proxy voting should be reported in the quarterly report to the Office and a summary of the year's proxy voting should be included in the fourth quarter, year-end report

Communication

The Investment Manager shall communicate promptly with the Office and Investment Committee regarding:

- Major changes in their investment outlook, investment strategy, sector allocation, and other matters affecting their investment management
- Significant changes in ownership, organizational structure, financial condition, or senior staffing of the Investment Management's firm
- Recommendations that any particular guideline should be altered or deleted. Recommendations must be written and delivered to the Office and the Fund's investment advisor.

Execution of Security Transactions

In placing portfolio transaction orders on behalf of the Fund, the Manager shall obtain execution of orders through well capitalized, qualified broker-dealers at the most favorable prices, "best" commission rates and spreads, taking into consideration the efficiency of execution of the transaction.

The Manager is prohibited from utilizing a broker-dealer who is an affiliate of the Manager.

VIII. RISK TOLERANCE

The Investment Committee recognizes that prudent investing requires taking reasonable risks in order to raise the likelihood of achieving the targeted investment returns. Research has demonstrated that portfolio risk is best minimized through diversification of assets. The Endowment will be structured to maintain prudent levels of diversification. In terms of relative risk, the volatility of the portfolio should be in line with general market conditions.

IX. ASSET ALLOCATION AND STYLE DIVERSIFICATION

Research suggests that the decision to allocate total assets among various asset classes will far outweigh security selection and other decisions that impact portfolio performance. The Investment Committee recognizes the strategic importance of asset allocation and style diversification in the investment performance of the plan assets over long periods of time. Domestic and international equities both large and small capitalization, fixed income, cash equivalent securities. Additional asset classes and style strategies may be incorporated into the investment philosophy in the future.

Summary of Asset Allocation Guidelines

After reviewing the long-term performance and risk characteristics of various asset classes and balancing the risks and rewards of market behavior, the following asset allocation strategy is incorporated to

achieve the objectives of the University, while maintaining the moderate tolerance for risk as stated above.

To meet these objectives, the Operating Funds and the Short-Term Reserve Funds will be restricted in investing in the following fixed income instruments:

- Money Market Funds;
- Certificates of Deposit;
- Treasuries;
- Government Agencies.
- Approved Short-Term Fixed Income Mutual Funds.

Investment management of the General Endowment, Annuity, Scholarship, and Trust Assets of Oakwood University shall be in accordance with the following asset allocation guidelines:

Asset Category	Minimum	Target	Maximum
Cash	2.00%	5.00%	15.00%
Fixed Income	30.00%	35.00%	50.00%
Equity	45.00%	60.00%	75.00%
Large Cap	25.00%	35.00%	45.00%
Small Cap	5.00%	10.00%	15.00%
International	10.00%	15.00%	20.00%

Rebalancing Procedures

From time to time, market conditions may cause the investment in various asset classes to vary from the established allocation. At least on an annual basis, the Investment Committee and their Investment Advisor will review both the specific asset allocation (equity versus fixed) and the style targets for possible rebalancing back to the target allocation, to ensure consistency with the asset allocation guidelines established by this investment policy. If the actual weighting goes above / below the maximum / minimum weighting intra-year, rebalancing may be recommended.

Adjustment in the Target Allocation

The approved asset allocation displayed previously indicates both an initial target allocation and a range for each investment category. From time to time, based on changing economic circumstances of the Endowment as perceived by the Investment Committee and their advisors, it may be desirable to make changes in the target allocations. The Investment Committee and their advisors may determine such changes. Subsequent target allocation changes will be approved by the Investment Committee and the Investment Policy Statement will be updated accordingly.

X. SELECTION AND RETENTION CRITERION FOR INVESTMENTS

Investment Management

Investment Managers (including mutual funds) shall be chosen using the following criteria:

- The investment style and discipline of the proposed manager

- How well each proposed investment complements other assets in the portfolio
- The size of the organization as measured by the amount of assets under management with respect to the investment style under consideration
- Experience of the organization as measured by the tenure of the professionals with respect to the investment style under consideration
- Past performance, considered relative to other investments having the same investment objective. Consideration shall be given to both performance rankings over various time frames and consistency of performance
- The historical volatility and down-side risk of each proposed investment

Individual Securities

The Investment Committee desires to permit investment managers flexibility to maximize investment opportunities. However, it is cognizant of its responsibility to practice prudent management in order to conserve and protect Fund assets and to prevent exposure to undue risk. Exceptions to the guidelines stated below may be made upon special written approval of the Committee and shall be subject to annual review. The Investment Committee foresees the possibility of using mutual funds / collective trust funds and understands that they would not have any control over the management of such funds with regard to guidelines and restrictions.

Equity Holdings

Security Types

Equity securities shall consist of publicly traded common stocks and equivalents (ADRs, issues convertible into common stock, etc.). There are no specific constraints as to earnings record and dividend policy.

Diversification

No more than seven percent (7%) of the market value of the equity portfolio shall be in one issue. (If more than one investment manager manages equities, this restriction shall apply separately to each equity portfolio.)

Quality

There are no qualitative guidelines with regard to equity ratings, etc., except that prudent standards should be developed and maintained by the Investment Manager(s).

Restrictions

Investment in the following is prohibited unless written permission is granted:

- Derivative investments (futures or option contracts) for speculative purposes (as opposed to protection of asset value: *Covered call writing is permissible*)
- Direct ownership of letter stock
- Restricted stock
- Venture capital

- Short sales
- Margin purchases or borrowing money
- Stock loans

Fixed Income Holdings

Security Types

Investment in obligations of the U.S. Government, including Treasury Inflation-Protected Securities (TIPS), U.S. Government Agencies, U.S. Corporate entities, Mortgage Backed Securities (MBS), Preferred Stock, Collateralized Mortgage Obligations, Asset Backed Securities, Taxable Municipal securities, Commercial Mortgage Backed securities (CMBS), REIT debt and dollar denominated foreign bonds is permitted unless otherwise prohibited by investment restrictions.

Diversification

With the exception of U.S. Treasury and Agency obligations, no more than five percent (5%) of the fixed income portfolio at market shall be invested in a single issue or corporate entity. If more than one investment manager manages fixed income, these restrictions apply separately to each portfolio.

Maturity

The appropriate maturity schedule and duration for the Endowment fund shall be the responsibility of the investment manager(s). Based on the fund's investment objectives and risk profile as well as current and expected market conditions, the manager should determine the structure that will yield optimal performance.

The Operating Funds are restricted to Money Market Funds and other cash equivalent accounts with average maturity of 90 days or less. Maximum duration allowed for the Short-Term Reserve Funds is 2 years or less.

Quality

Each debt instrument selected for investment shall be subjected to credit analysis by the investment manager prior to inclusion in the portfolio. The minimum acceptable quality is investment grade at the time of purchase by Moody's Investor Service (Baa) or Standard and Poor's (BBB) with the exception of 15% of the value of fixed income portfolio, which could be invested in below investment grade securities. The weighted average quality of the fund shall be A or better.

Restrictions

Investment in the following is prohibited without written permission from the Investment Committee:

- Derivatives for speculative purposes (Futures for duration management are acceptable)
- Private Placements (However, private placement medium term notes and securities issued under SEC Rule 144A are permitted)
- Margin purchases or borrowing money to effect leverage into the portfolio
- Inverse floater, interest only and principal only mortgage structures

XI. SOCIALLY RESPONSIBLE GUIDELINES

Oakwood University is a socially responsible, religious organization. As such, each Investment Manager must invest the assets of the Funds in a manner that is consistent with the ethical norms and beliefs of the Seventh-day Adventist Church. Thus, all separately managed portfolios are prohibited from making any direct investment in companies which controls a significant portion of the market share in, or whose principal business is, any of the following:

- Alcoholic beverages
- Casinos and other gambling concerns
- Meat processing
- Pornographic materials
- Tobacco
- Caffeine beverages

The Office and Investment Committee reserves the right to direct the sale of any security that it finds objectionable, including any other security transactions not specifically authorized in this policy statement, unless approved, in writing, by the Finance Committee of the Board of Trustees . Request by Investment Committee to the Finance Committee of the Board of Trustees to execute transactions that are not currently authorized in the policy should be made prior to executing such transactions.

XII. PERFORMANCE OBJECTIVES

The overall fund performance will be reviewed on a quarterly basis, with long term emphasis placed on results achieved over a three to five year period. Objectives will be reviewed annually and adjusted, if necessary, after consultation with the Investment Committee, Investment Advisor and Investment Managers.

Total Fund

Fund performance will be compared to the performance of an identically structured balanced index in line with the target allocation in each strategy. This custom index for the Endowment will be comprised of the S&P 500 Index (Large Cap), Russell 2000 Index (Small Cap), MSCI World ex--US Index (international Equity), Barclays Capital U.S. Aggregate Bond Index (Domestic Fixed Income) and Citigroup 30 day Treasury Bill Index (Cash), and other approved indexes. The Fund should at least equal the performance of the custom balanced index

XIII. CONTROL PROCEDURES

Review and Evaluation of Investment Objectives

To assure continued relevance of the guidelines, objectives, financial status and capital markets expectations as established in this statement of investment policy, the Board of Trustees plans to review investment policy at least annually. This review will focus on the continued feasibility of achieving the objectives and the continued appropriateness of the investment policy. It is not expected that the investment policy will change frequently. In particular, short-term changes in the financial markets should not require an adjustment in the investment policy.

Review and Evaluation of Investment Manager(s)

Performance reports shall be compiled at least quarterly and communicated to the Board of Trustees Finance Committee for review. The investment performance of total portfolios as well as asset class components will be measured against commonly accepted performance benchmarks. Consideration shall be given to the extent to which the investment results are consistent with the investment objectives, goals, and guidelines as set forth in this statement.

These reviews will focus on:

- The Investment Managers' adherence to the policy guidelines;
- Comparison of the managers' results to the objectives established for each fund or Investment Manager as the case may be;
- Comparison of the managers' results against funds using similar policies (in terms of the stock/bond ratio and style);
- Opportunities available in both the equity and bond markets; and,
- Material changes in the Investment Managers' organizations, such as philosophical or personnel changes.

An annual report will be presented to the Board of Trustees Finance Committee by the chairperson of the Investment Committee.

With the approval of the both the Vice President of Financial Affairs and the President, the Investment Committee may discharge, replace, or “place on caution” a manager at any time it deems such action necessary and appropriate. The following conditions will be primarily considered:

- Any material event that affects the ownership or capital structure of the investment management firm, or the management of this account. Failure on the part of the Investment Manager to promptly notify the Investment Committee, may be grounds for termination;
- Any material client servicing deficiencies, including a failure to communicate in a timely fashion significant changes of this investment policy.
- Violation of terms of contract without prior written approval of the Investment Committee constitutes grounds for termination;
- Diversification strategy – as part of its overall asset allocation strategy, the fund will utilize a multi-manager structure of complementary investment styles and asset classes to invest the Fund’s assets. Therefore, it is very important that Investment Managers remain consistent with the intended investment style at the time the manager was engaged;
- The Investment Manager’s performance will be viewed in light of the firm’s particular investment style and approach, keeping in mind at all times the Fund’s diversification strategy as well as the overall quality of the relationship;

Based on performance, the guidelines for evaluation, retention, and replacement of Investment Managers will be as follows:

- Establish appropriate benchmark/index to which to compare Investment Managers’ performance.

- Establish performance target: To outperform benchmark/index and to achieve investment returns:
 - in the top thirty-third percentile (33%) of peer manager/fund groups for equities over a three to five year period
 - in the top fortieth percentile (40%) of peer manager/fund groups for fixed income over a three to five year period
 - Monitor managers’/funds’ performance on a quarterly basis and compare to selected index and peers with similar styles and objectives.

An Investment Manager will be rated in a “Favorable Status” if they are delivering favorable performance and there are no outstanding organizational issues.

An Investment Manager will be in a “Caution Status” if:

- For Equities:
 - Investment Manager’s three year performance is below the 50th percentile of their peer universe, or they are trailing the style benchmark, or
 - Investment Manager’s five plus year performance is below the 33rd percentile of their peer universe, or they are trailing the style benchmark
- For Fixed Income:
 - Investment Manager’s three year performance is below the 50th percentile of their peer universe, or they are trailing the style benchmark, or
 - Investment Manager’s five plus year performance is below the 40th percentile of their peer universe, or they are trailing the style benchmark.

An Investment Manager that falls in “Caution Status” should undergo a formal review by the Investment Advisor. The review will address how the Investment Manager will move back to “Favorable Status” or recommend termination. An Investment Manager can move back to “Favorable Status” by improving its performance above the criteria as listed above. Highest priority will be given to those failing to meet the five-year target and next to those failing to meet the three-year target. There may be situations where immediate problems, questions or short-term performance issues arise regarding an Investment Manager and the priority will shift to review these situations first.

In addition to the above, immediate termination of managers should be considered:

- When they deviate from the Investment Committee’s instructions
- When they deviate substantially from their investment disciplines and process
- When Investment Committee members have any material problem or concern regarding the Investment Manager

XIV. COMMUNICATIONS

Month-end accounting of transactions and portfolio holdings, ending portfolio and holdings values will be provided by the custodian(s).

Quarter-end regular accounting of transactions, portfolio holdings, yields, current market values, summary of cash flows, calculations of the portfolio's total rate of return on a latest quarter, year-to-date and since inception basis will be provided by each Investment Manager.

The Investment Managers will maintain communication with Oakwood University and the Investment Advisor with as reasonable frequency as market conditions and the portfolio warrant. Major market conditions and major portfolio changes should be called to the attention of the Endowment and the Investment Advisor by the Investment Managers.

Significant changes within the Investment Managers' operations of personnel and the anticipated impact on the funds should be brought to the attention of the Endowment and the Investment Advisor immediately. If any changes are made to key personnel, ownership or any other critical areas of the firm, the client should be promptly informed.

The Investment Advisor will provide comparative performance evaluation reports quarterly, which will encompass the portfolio as a whole as well as all individual managers.

XV. STATEMENT FOR INVESTMENT MANAGERS

The investment policy as set forth in this document will be reviewed annually by the Finance Committee of the Board of Trustees which can approve and implement changes. If at any time the Investment Manager believes that these objectives cannot be met or that the investment guidelines constrict performance, the Finance Committee of the Board of Trustees should be so notified in writing. By initial and continuing acceptance of these objectives and guidelines, the investment manager concurs with the provisions of this document.

Document Title: SCHEDULE: WORK PERIODS, DEFINITION FOR PAYROLL AND OVERTIME COMPENSATION
Category: Payroll
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [04/ 2010] [10/ 2001] Revision Dates [] Replacement [] Addition

It is the policy of Oakwood University to adhere as closely as possible to established campus-wide office hours.

Administrative and general office hours are from 8:00 a.m. to 5:30 p.m. Monday through Thursday and 8:00 a.m. to 12:00 p.m. on Fridays. A one-hour lunch period is scheduled by each department as requirements demand but is generally from 12:00 noon to 1:00 p.m. At the direction of the President, key offices will remain open during the lunch hour.

The normal office hours per week are thirty-eight hours. Any personnel scheduled to work less than thirty-five hours per week are not considered full-time employees.

Work Periods Defined

In general, work periods for employees are defined according to the employee's payroll schedule (category). Typically, all employees will fall into one payroll category: bimonthly.

Overtime Entitlement

Only those employees defined as nonexempt employees by wage and hour laws are entitled to and eligible for overtime compensation as that term is defined by and covered by their work or payroll schedule. For example, a weekly payroll employee, as previously defined, must be compensated at the overtime rate for all hours in excess of forty in any given work week.

Overtime—bi-weekly payroll employees: Bi-weekly employees, as previously defined, must receive overtime compensation for all hours worked in excess of forty hours per week per pay period.

Method of Compensation

Hours worked in excess of those defined for the employee's work period or payroll schedule for exempt employees may be compensated by time or monetary values. Although the preferred method of compensation is time off, supervisors may use their discretionary judgment in these matters.

Hours worked in excess of forty for the non-exempt employee's weekly work period will be compensated by monetary values.

Rate of Compensation

Regardless of the method chosen for compensating employees for overtime work, the test for determining the rate of compensation is as follows:

1. If the total of hours worked exceeds forty hours per week for non-exempt employees, compensation will be at one and one half times the regular rate.
2. If the total of hours worked for exempt employees exceed that defined previously for the employee's classification, compensation will be at the regular rate, whether in time or monetary value.
3. If the total of hours worked does not exceed that defined previously for the employee's classification, compensation will be at the regular rate.

***Note:** Compensation given in the form of time off, in order to be made at the regular rate, must be taken by the employee in the same time frame or pay period covered by the work or pay period in which the hours were worked.*

Document Title: UNIVERSITY PURCHASING SYSTEM
Category: Purchasing
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [04/ 2010][] [] [] Revision Dates [] Replacement [] Addition

The purchasing process is a joint effort of the entire fiscal department and the management team of Oakwood University. The process is considered complete when persons receive the item and/or service requisitioned, the vendor is paid, the purchase order is closed, and a historical record is compiled.

Record Keeping

Purchasing Records. The department must keep records of the purchase order, the vendor, the prices, the quantity, and the expected receiving date. The department must also maintain a favorable vendor relationship with the suppliers to the University. This means prompt deliveries, quality items and service, prompt responses on discrepancies, and providing the Accounting Office with the information necessary to make prompt payments to the vendors.

Accounting. The Accounting Office has access to all information on the purchase order and must be notified when items and/or services are received. Accounting forwards all information regarding payment to Purchasing. Records of payment and the closing of a purchase order are maintained in the Accounting Office. Interaction with a vendor during the payment process is usually minimal but can occur during this process.

Shipping and Receiving. Shipping and Receiving must have access to the purchasing information, including the quantity and proposed receiving date. When items are received (with or without a purchase order), a signature of receipt is required of an item delivered to an individual or department.

Purchase Orders

Each department is responsible for a limited amount of that budget on a monthly basis. Each department head/director can sign a Departmental Other Transaction Form in lieu of a purchase order/or purchase order of \$1 to \$999.99 that can go directly to Purchasing to be processed. The total is not to exceed \$2,000 per month. Items of \$1,000 to \$9,999.99 must be signed by the division vice president and controller and then go to Purchasing to be processed. All items above \$10,000 must be signed by the Financial Vice President.

The controller, Vice President for Financial Affairs, and President must approve requisitions above \$10,000 or nonbudget items.

A department that does not comply with the above will be required to obtain budget approval by the controller, the Vice President for Finance, and the President for all purchases.

When cash flow challenges occur, all purchases are routed to Accounting for budget approval.

Persons who are not an assigned requisitioner but initiate a purchase order go through the requisitioner who then forwards it on for approval.

Purchasing Department

Only assigned requisitioners of each Department are able to officially place orders. It is at the discretion of the Purchasing Department whether or not to confirm a faxed purchase order number with the hard copy. All purchase orders are returned to the department with a hard copy.

When an order is placed by the Purchasing Department and the supplies are delivered, the same day or the next day, Shipping and Receiving forwards the order to the person/department initiating the order.

Items ordered for \$200.00 or less from local vendors must be in the hands of the requisitioner who initiated the purchase order within five working days or less.

Shipping and Receiving

The Purchasing Department and/or the assigned requisitioner must remind vendors to place the purchase order number on the packaging and receiving slip or on the address label so that Shipping and Receiving can cross-reference the number and/or company and deliver to the correct person/department.

All items will go through Shipping and Receiving. Large items, such as furniture, may be checked in by the assigned requisitioner of the Receiving Department. Provisions for pickup may be made on a limited basis.

Shipping and Receiving and/or the assigned requisitioner file the receiving paper work by forwarding a copy to Accounting or enter the data into the computer. When discrepancies occur, Purchasing contacts Shipping and Receiving and/or the assigned requisitioner for a hard copy validation of the receipt.

Accounts Payable

Upon receipt of an invoice for a vendor, Accounts Payable prints a copy of the purchase order paperwork. Payment is only made on those items received unless some type of override is initiated. If all items are not received when the Purchasing Department runs an open order report, the department informs the vendor of the discrepancy. If all items are received thirty days after Accounts Payable prepares a check, the purchase order closes itself out. At that point the purchase order goes to a closed file, and although the file is accessible for viewing, changes may not be made. This concludes the purchasing process. Purchasing reconciles any discrepancies.

Document Title: VENDOR PAYMENTS
Category: Purchasing
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

To ensure timely payment of invoices to our vendors, the following items are needed:

1. A completed purchase order (PO). A completed and accurate PO includes the following:

Bill to: Oakwood University
Accounts Payable
P.O. Box 107
Huntsville, AL 35896

Ship to: Oakwood University
Attn.: Shipping & Receiving
7000 Adventist Blvd.
Huntsville, AL 35896

A to Z ships direct to the Department

2. An original invoice. Employees should be sure to have the correct PO on the invoice.
3. The POs should be used for requested items only. When the PO runs out, it is the responsibility of the department to make sure another requisition is put in to cover the difference between the PO and the invoice if it is over \$50.00.

Document Title: ENDOWMENT INTERNAL FUNDING POLICY
Category: Miscellaneous
Number:
Effective Date: July 1, 2010
Authority: VP for Financial Affairs
Document Status: [] [] [] [] Revision Dates [] Replacement [X] Addition

PURPOSE

The purpose of the Endowment Internal Funding Policy is to identify and allocate resources that will increase the value of the Endowment Fund and to ensure that assets are available to support the long-term mission of the University.

UNCF APPROPRIATIONS

UNCF appropriations above current operational (2009/2010) budget will be allocated to the Endowment Fund.

UNALLOCATED, UNRESTRICTED DONATIONS

5% of unallocated, unrestricted donations will be added to the quasi-endowment corpus for 2010/2011 with a goal of contributing 10% of future donations.

CHURCH RELATED SUBSIDIES

Any increase in church-related subsidy beginning January 1, 2011 will be added to the quasi-endowment corpus.

FUND-RAISING

All fund-raising efforts generating a gift of \$1,000 or more from February 15, 2010 will automatically include a 10% component for increasing the endowment (this includes maintenance endowment, departmental endowments, etc.). Departments that raise funds may draw the interest/earnings on their endowment principal once annually at a time designated by Oakwood University administration.

ADMINISTRATIVE REVIEW

This policy is subject to administrative review and adjustment.

Document Title: IRS IDENTITY NUMBER: RESTRICTIONS
Category: Miscellaneous
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

The name, Oakwood University, and its Internal Revenue Service identity number, are reserved for exclusive use for bank accounts for which University officers and administrators are the sole signatories. The banking needs of all University departments and organizations without legal status will be conducted by the Business Office. Interest income from credit balances in accounts carried on the University books is the property of the University and appears as “miscellaneous income” in the revenue section of the budget.

Document Title: PRESERVATION OF FINANCIAL RECORDS
Category: Miscellaneous
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] Revision Dates [] Replacement [] Addition

Financial records must be kept for six years in order to support Oakwood's annual IRS 990 reports, to serve as resources for financial analysis, and to be available for various business needs.

Documents to be kept are

- Statements of revenue and expenditures
- Balance sheets
- General ledgers
- Check registers
- Voucher registers
- Bank statements
- Vender files with paid invoices
- Lists of real property and equipment

Each year the seventh year's records will be removed from the readily available storage in the Business Office and either placed in the Archives or destroyed.

The inventory shall include all equipment costing over \$1,000.00 per item as well as real property. Date of purchase, cost, description, serial number, and campus location shall be incorporated into the list.

Two copies of the annual audit shall be kept permanently.

Document Title: VEHICLES
Category: Miscellaneous
Number:
Effective Date: May 1, 2000
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

It is the mission of the Motor Pool Department to function as a support service for the institution providing mobility on a daily basis for the students, administration, faculty, and staff. We provide the necessary transportation to enhance academic excellence, spiritual growth and development and economic stability with Christian courtesy and attitude.

The following procedures and policies will serve as a guide for the request and use of University-owned vehicles operated by this unit.

Requests for Trips

1. Requests for trips utilizing the vans, buses or sedans must be made on a travel request requisition obtained from Public Safety. An analysis of need, availability, size of vehicle and cost will be determined.
2. All trips must have the approval of the budget director and the Vice President for that area. The Accounting Department will verify that funds are available in the budget of the requesting department to support the cost of the trip.
3. The University reserves the right to cancel a trip at any time in keeping with school functions, activity scheduling and/or other University-related matters.
4. Needs and academic functions of the institution take precedence over any and all requests for use of vehicles.
5. Inter-connected organizations, i.e., Oakwood Academy and Elementary School, Oakwood University Church, senior citizens clubs, Pathfinder Club, church-related units, and choirs will be required to pay by check, money order, or cash for the appraised cost of the trip.
6. Requests for out-of-town trips should be processed seven days prior to the date of departure for the event.

Charter Trips

1. The Motor Pool Department maintains safe, modern, air-conditioned vans and motor coaches. The department assumes no responsibility due to breakdowns or road failures. We reserve the right to substitute van or coach equipment of another company, or other modes of safe transportation. We are not liable for delays caused by accidents, breakdowns, road conditions, storms and other circumstances beyond our control.
2. The contracting party is responsible for providing suitable housing for the driver(s) of the chartered van or coach.

3. A non-refundable deposit may be required upon approval of the trip as a guarantee of payment. The department may apply the deposit in its discretion against amounts owed and unpaid.
4. The University assumes no responsibility for the loss of luggage for the duration of the trip.

Driver Qualification

1. All staff and contract drivers of the Oakwood University Motor Pool Department are certified CDL vehicle operators. They are required to maintain updated medical records, random drug testing and driver logs as required by the Department of Transportation, OSHA and Risk Management Services.
2. It is the responsibility of each driver to check the operating status of the vehicle. This exercise is done on a tour of duty with each vehicle. Safety inspections are mandatory for all drivers/operators.
3. All drivers must qualify as safe operators and have a driving record that is in accordance with North American Division (NAD) mandates.
4. Faculty and staff requesting use of vehicles for a field trip and not requiring a driver from the Motor Pool staff must meet the qualification standard as required by the Adventist Risk Management and Oakwood University.
5. Student drivers should be 21 years of age with a minimum of three years driving experience and have an acceptable driving record.

Operator's Responsibility

1. The operator/driver is responsible for the care of the vehicle and the safe operation while in his/her possession. The operator/driver is required to notify the Motor Pool supervisor of any known defects observed during the operation of the vehicle.
2. The operator/driver is responsible for completing all required forms and returning the keys to the Motor Pool office.
3. Special approval is required for overnight use of vehicles.
4. In case of an emergency, accident or medical, the operator/driver shall seek attention from the appropriate agencies (police, sheriff, state police, and hospitals). The supervisor of operations shall be notified of the incident by phone and appropriate papers filed for insurance purposes.
5. All state and local laws must be adhered to including the wearing of seat belts, driving at the posted speed limit and adjusting the speed with the condition of the roads.

Document Title: REFUNDS
Category: Student Accounts
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

- Refunds are only given if a credit balance appears on the account.
- Academic scholarships sponsored by Oakwood University, by Worthy Student Scholarships, and by work scholarships are not refundable.
- Refunds are not given on financial aid that must be returned because of enrollment status.
- No emergency refunds are issued.
- Refund checks are issued every Tuesday and Thursday.
- Refund checks are processed after a written request is received.
- Due to discrepancies in the exchange rate of Canadian currency to U.S. currency, Canadians only receive 65 percent of their credit balance. Note: Canadian Matching Scholarships are not refundable.

Document Title: STUDENT ACCOUNTS FEE
Category: Student Accounts
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

The Student Accounts Office maintains personal student accounts and provides accurate student statements. Services include providing answers about the account, referrals, posting of charges and credits to the account, receipting of all funds to the account, and the mailing of statements.

Incorrect Charges, Deadlines, Fees. The Student Accounts Office is responsible for postings to all accounts. Students must always bring their registration form whenever coming to the Student Accounts Office. Questions regarding any postings may be directed to that office; however, it cannot change deadlines or take off any incorrect amount without receiving the appropriate authorization from the department responsible for the charge. Students must contact that department for resolution.

Exceptions to Hours of Operation. The Student Accounts Office is closed during staff meetings the second Tuesday of each month, Tuesday assemblies, presidential briefings, processing of monthly statements, financial clearance, and school closings. Signs will be posted, and the switchboard will be notified to announce closings other than those listed.

Statement Printouts. Due to the increased costs of paper and printing, printouts of statements are no longer available. Statements are mailed every other month during the semester, and viewing of the account is made available through the terminals in the Student Accounts Office daily with proper identification. Included in the statement are a SASE and periodic updates.

Privacy Act Regarding Statement Information. Legally the Student Accounts Office can provide information about an account only to the student. For access to information by any other party, the student must submit authorization to Student Accounts.

Information Source. Information on refunds, disbursed bank loans, financial clearance, disbursed grants, payment plans, TMS, transcript requests, and book vouchers is available from the Student Accounts Office.

Financial Aid. Information on loans, grants, scholarships, and processing of aid can be obtained from the Financial Aid Office.

Financial Clearance Information. Students must make sure of the correct spelling of the name, address, zip code, residence hall, meal plans, and any eligible discounts on the account before signing it. Student Services should be contacted to update local addresses, while the Records Office is to be contacted to update the permanent addresses.

Dollar Amount Following 70 Percent on Financial Clearance Form. This is for office use only to help make a determination for charging additional amounts on the account.

Minimum Amount Needed to Financially Clear. To calculate the minimum amount due to financially clear, students should add tuition, room, board, and all fees except insurance fee, and multiply by 70 percent, then add or subtract the prior balance from this figure, add the insurance fee, and subtract any credits or scholarships. Students should not pay in cash because of the inherent risk of loss or theft.

Soft Credit. This refers to those students who are eligible for a family or conference discount, summer ministries, LETC, or any other scholarship. (Two- and three-way scholarships are posted for the spring semester only.) To qualify for a conference subsidy, written authorization from the conference is needed each semester. The family discount is 5 percent for two or 10 percent of tuition for three or more dependent students from the same family enrolled during the same semester. Siblings'/spouse's name and Social Security number must be provided. The semester-paid-in-full discount of 5 percent tuition applies when all charges on the financial clearance form are paid in full with a cashier's check, money order, cash, or credit card at the time of financial clearance. Student Accounts provides additional information regarding any other restrictions.

Soft credit received at financial clearance for scholarships/discounts/loans/grants is not refundable until the funds have been receipted on the account, resulting in a refundable credit balance.

Point of Clarification. Soft credit received at the time of financial clearance is not posted on the account, but is reflected all on the charges for the semester. At the time of clearance, monies expected to come appears on the financial clearance form. Oakwood University extends this courtesy to its students to allow them to enroll and register without funds in hand. A high bill reflects that all monies have not been received.

RA's, Housekeeping, Custodial, and Task Force Workers. A certain percentage of the compensation package can be used to financially clear. The complete package is posted at the end of the semester.

Canadian Students Matching Scholarship. (This applies to Canadian residents only.) Payments made in Canadian funds for tuition are matched by Oakwood University. However, credit cards and bank wires are remitted in U.S. dollars, and are not matched by the Canadian Scholarship.

Scholarships/Grants. The name, address, and phone number of a contact person, including invoicing instructions, must be submitted to the cashier at financial clearance. The student is responsible for payment if expected funds are not remitted by sources as expected. The Records Office must be contacted if enrollment verification is requested before the funding source pays.

Credit Balance. Students with a credit balance are eligible to make charges. The amount is reflected followed by "CR" in Current Total Balance column.

International Students ALERT. The temporary 999 number received for admission must be updated to a U.S. Social Security number before a student is eligible to work and/or receive labor credit. Processing must be completed at both the Work Education and the Records Office.

Bulletin Board. Student Accounts maintains a bulletin board in the reception area for pertinent information that may affect the student.

Mailing Address. All correspondence should be mailed to Student Accounts, 7000 Adventist Boulevard, Huntsville, Alabama 35896.

Due Dates. Students must become thoroughly familiar with dates announced in the *Student Handbook*, the class schedule, and the *Oakwood University Bulletin* for successful matriculation at Oakwood University.

Document Title: TRANSCRIPTS
Category: Student Accounts
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

Transcripts are only released when the account has a zero balance. Two edit lists are generated and sent to the Accounting Office. One should be attached to the approved refund request and the other used to check against the actual checks when they are completed, including the correct address.

Document Title: AMERICANS WITH DISABILITIES ACT (ADA)
Category: Human Resources – General Administrative Information
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [4/2010] Revision Dates [] Replacement [] Addition

Oakwood University is committed to making employment opportunities available to qualified applicants and employees without regard to race, color, religion, gender, age, national origin or disability. All personnel actions and programs, including recruitment, selection, assignment, classification, promotion, demotion, transfer, layoff and recall, termination, determination of wages, conditions and benefits of employment, etc., shall be administered in accordance with this equal opportunity policy. It is the intent of Oakwood that, in all aspects of employment, individuals shall be treated without discrimination on any of the foregoing bases and that employment decisions shall instead be premised upon a person's ability, experience, and other job-related qualifications.

Additionally, Oakwood University is an affirmative action employer of women, minorities, qualified individuals with a disability, and covered veterans. It is committed to making sustained, diligent efforts to identify and consider such individuals for employment and for opportunities arising during employment.

These commitments are designed to meet nondiscrimination/affirmative action requirements imposed by the following federal and state sources of legal obligations, as amended: Title VI and VII, Civil Rights Act of 1964; Executive Order 11246; Title IX, Education Amendments of 1972; the Rehabilitation Act of 1973; the Equal Pay Act of 1963; the Age Discrimination in Employment Act of 1967; the Vietnam Era Veterans' Readjustment Assistance Act of 1974; the Americans Disabilities Act of 1960; contract and grant agreements with governmental agencies; and the Alabama Constitution of 1901. The University's employment and personnel policies include specific administrative procedures and implementing measures designed to carry out these pledges and to ensure compliance with the foregoing laws.

Document Title: DRUG-FREE WORKPLACE
Category: Human Resources – General Administrative Information
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [10/2010][][] [] **Revision Dates** [] **Replacement** [] **Addition**

All employees and students are expected to refrain from the use and abuse of alcohol, drugs, and tobacco while employed or enrolled at Oakwood University. The University's policies are consistent with the beliefs of the Seventh-day Adventist Church, which promotes a temperate lifestyle that includes abstinence from the use and abuse of alcohol, drugs, and tobacco.

In compliance with the Drug-Free Workplace Act of 1988, and in harmony with the laws of the land, Oakwood University prohibits the unlawful use, possession, distribution, dispensing, or manufacture of controlled substances by its employees, which includes faculty, staff, and students. Further, any person employed by the University who receives federal funding as an individual is expected to certify that he/she will not engage in the unlawful use, possession, distribution, dispensing, or manufacture of a controlled substance while associated with the University. Failure to comply with these policies will result in discipline up to and including expulsion or termination and, if appropriate, notification of law-enforcement agencies for prosecution.

COMPONENTS OF A DRUG-FREE WORKPLACE

Policy

Oakwood is committed to providing a safe and healthy workplace, and minimizing risks to its employees, students, and to the public. Therefore, employees and students are prohibited from the following when reporting for work, while on the job on Oakwood premises or surrounding areas, or in any Oakwood vehicle or personal vehicle used for University business:

- a. The unlawful use, possession, transportation, manufacture, sale, or other distribution of an illegal or controlled substance or drug paraphernalia.
- b. The unauthorized use, possession, transportation, manufacture, sale or other distribution of alcohol.
- c. Being under the influence of alcohol or having a detectable amount of an illegal or controlled substance in the blood or urine.

Note: The term “controlled substance,” as used in this policy, means a drug or other substance as defined in applicable federal laws on drug abuse prevention.

Any employee who violates any of these prohibitions will be subject to disciplinary action up to and including termination. Use of alcohol or other drugs before, during or after work may affect

your performance on the job. Poor job performance, regardless of the cause, may lead to discipline up to and including discharge.

Detection

- a. The University reserves the right to investigate faculty, staff, and students where reasonable suspicion exists of drug or alcohol involvement. This includes the right to search an office, locker, on-campus vehicle, or residence hall room, briefcases, book bags, and handbags, and the right to require an appropriate drug test and confirmation by a retest. If a search is to be made, it must be authorized by the residence hall director, chair of a department, a vice president, or the President of the University.
- b. If unlawful possession of a controlled substance or drug paraphernalia is discovered, the University will confiscate the item(s), investigate the circumstances, and institute disciplinary actions.
- c. Initial identification of a problem may be made by a supervisor, faculty member, colleague, or concerned person, or a self-referral may be made.

Confidentiality

- a. All drug investigations are treated as confidential by anyone authorized to have access to such records. The University will take steps to the extent reasonably possible to keep such investigations confidential. Examples of situations where confidentiality cannot be maintained include, but are not limited to, circumstances where the University is required by law or legal process to disclose the information or where the University's investigation requires disclosure.
- b. All records and information of personnel actions taken on employees under investigation or discipline with respect to drugs shall be maintained by the director of human resources in a secure, locked file. Only authorized individuals who have a "need to know" shall have access to them. Statistical reports will be compiled without personal identifying information.

Assessment

- a. Oakwood's Human Resources Department is responsible for the compliance with specific drug and alcohol testing policies which may apply. All controlled substance and alcohol testing will be carried out in compliance with applicable state and federal laws.
- b. If there is a reasonable suspicion of substance abuse, a three- to seven-day suspension may be mandated until assessment is completed.

Discipline

The unlawful use, possession, distribution, dispensing, or manufacture of a controlled substance, or the use of alcohol or tobacco, is grounds for a full range of discipline up to and including termination of a faculty appointment and dismissal from employment. (See the policy of discipline and severance of a faculty member, the policy for termination for other staff, or the student disciplinary policy.) In cases where there is

a reasonable belief that a violation of law has occurred, cases may be reported to the appropriate law-enforcement agency for investigation and prosecution.

Condition of Employment

As a condition of employment employees will abide by the terms of the University drug-free workplace policy and procedure and will notify their immediate supervisors of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction.

Treatment

Oakwood recognizes that employees suffering from alcoholism and controlled substance dependence can often be successfully treated. Oakwood encourages any employee with an alcohol or controlled substance dependency problem to voluntarily enter a controlled substance or alcohol rehabilitation program prior to any violation of this policy. However, where a violation of this policy has occurred, an employee's subsequent request to submit to a controlled substance or alcohol rehabilitation program will not prevent Oakwood from taking appropriate disciplinary action.

Relapse Prevention Monitoring

- a. Monitoring will be required to prevent relapse for all students, faculty or staff who have chemical dependency.
- b. A recovery contract will be formulated for each student or staff member (either by his or her diversion committee or the Employee/Student Assistance Program) and will consider aftercare, recovery home, counseling, psychiatric follow-up, Alcoholics Anonymous, Narcotics Anonymous meetings, other 12-step meetings, a sponsor, professional support groups, random screening of bodily fluids, Naltrexone or Antabuse, restricted work or study area, no access to mind-altering medications, including narcotics, no double shifts or night work, and no more than 40 hours per week or a workplace monitor.

DRUG SCREENING

Application

This section applies to employees who drive institutional vehicles that require a Commercial Driver's License (CDL) with a Class B endorsement-- specifically, employees who drive coaches, shuttle buses, and other commercial vehicles designed to carry sixteen (16) or more passengers.

Observed Collections

In accordance with U.S. Department of Transportation drug and testing programs that are subject to the requirements of 49 CFR Part 40 as published in the Federal Register Notice Volume 74, Number 145, dated July 30, 2009, **Observed urine collections will be required in the following circumstances:**

- a. All return-to-duty tests
- b. All follow-up tests
- c. Anytime the employee is directed to provide another specimen because the temperature on the original specimen was out of the accepted temperature range of 90F – 100F
- d. Anytime the employee is directed to provide another specimen because the original specimen appeared to have been tampered with

- e. Anytime a collector observes materials brought to the collection site or the employee's conduct clearly indicates an attempt to tamper with a specimen
- f. Anytime the employee is directed to provide another specimen because the laboratory reported to the Medical Review Officer (MRO) that the original specimen was invalid and the MRO determined that there was not an adequate medical explanation for the result
- g. Anytime the employee is directed to provide another specimen because the MRO determined that the original specimen was positive, adulterated or substituted, but had to be cancelled because the test of the split specimen could not be performed
- h. The employee who is being observed will be required to raise his or her shirt, blouse, or dress/skirt, as appropriate

Test Refusals

Under Part 40.191(a), additional behaviors have been added to the list of behaviors that constitute a test refusal. **The following is an inclusive listing of all current and added behaviors that constitute a test refusal:**

- a. Failure to appear for any test (except for pre-employment within a reasonable time, as determined by the employer)
- b. Failure to remain at the testing site until the testing process is complete
- c. Failure to provide a urine specimen for any required drug test
- d. Failure to permit the observation or monitoring of the specimen collection when required to do so
- e. Failure to provide a sufficient amount of urine when directed and there is no adequate medical explanation for the failure
- f. Failure to take a second test when directed to do so by the employer or collector
- g. Failure to undergo a medical examination when directed to do so by the MRO or employer
- h. Failure to cooperate with any part of the testing process (e.g., refuse to empty pockets when directed by the collector, behave in a confrontational way that disrupts the collection process, failure to wash hands after being directed to do so by the collector)
- i. Failure to follow the observer's instructions during an observed collection including instructions to raise your clothing above the waist, lower clothing and underpants, and to turn around to permit the observer to determine if you have any type of prosthetic or other device that could be used to interfere with the collection process
- j. Possess or wear a prosthetic or other device that could be used to interfere with the collection process
- k. Admit to the collector or MRO that you adulterated or substituted the specimen

Miscellaneous

Following a negative dilute result, the employee will be required to undergo another test. Should this second test result in a negative dilute result, the test will be considered negative and no additional testing will be required unless directed to do so by the MRO.

Testing will be performed at the federal minimum rate for drug and alcohol.

Document Title: EQUAL EMPLOYMENT OPPORTUNITY
Category: Human Resources – General Administrative Information
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

It is the policy of Oakwood University that no discrimination on the grounds of race, color, religion, gender, age, national origin, or disability exist in any area or in any employment practice at the University.

Document Title: NONDISCRIMINATION AND AFFIRMATIVE ACTION
Category: Human Resources – General Administrative Information
Number:
Effective Date: October 25, 1992
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

Oakwood University finds in the Christian faith the true basis for understanding all human experiences and therefore affirms that Christian principles are not compatible with various forms of discrimination which are prevalent. Oakwood University affirms that all persons are of equal worth in the sight of God and that they should be so regarded by all of His people. Moreover, this nation was founded upon the ideals of equal worth of all persons and equal opportunity for each individual to realize his or her fullest potential. Therefore, the University is committed to teaching and observing the biblical principles of equality.

The law does not require Oakwood University to have a written program of affirmative action, but, in the spirit of the law, the University has issued this program as a guide to its employees and constituencies to enlighten and assist in implementing a policy of affirmative action throughout the University. The University reserves the right to express disagreement from time to time with reference to specific remedies and regulations that may be proposed to eradicate discrimination.

I. POLICY OF NONDISCRIMINATION

Oakwood University is incorporated as a religious non-profit corporation, owned and operated by the Seventh-day Adventist Church as an integral part of the Church's teaching ministry. Federal and state guidelines clearly recognize the right of religious institutions to seek personnel and students who support the goals of the institution, including the right to give preference in employment of faculty and staff and admission of students to members of the church which sponsors the institution.

Oakwood University is a coeducational institution of higher learning established by the Seventh-day Adventist Church as an instrument essential to the fulfillment of its teaching ministry.

Oakwood University is committed to equal educational and employment opportunities for men and women and does not discriminate on the basis of sex among its students or employees or among applicants for admission or employment. The University is in substantial compliance with the requirements issued by the United States Department of Health, Education and Welfare under Title IX of the Educational Amendments Act of 1972.

Oakwood University is responsible for applying to both men and women employees and students biblical principles of morality and deportment as interpreted by the Seventh-day Adventist Church.

Oakwood University claims exemption from those provisions of Title IX such as Regulations 86.21, 86.40, 86.57 (b), and 86.31 insofar as they conflict with Church teachings and practices on morality, deportment, and appearance.

II. PROGRAM OF AFFIRMATIVE ACTION: GENERAL GOAL

The general goals of the University's program of affirmative action, and of the specific practices and procedures which compose it, are to recruit and hire without regard to race, physical impairment, or gender. The practices and procedures outlined below are designed to assist the University in attaining these goals.

III. SPECIFIC UNIVERSITY PRACTICES AND PROCEDURES

A. Management and Supervisory Development

The University will help managers and supervisors at all levels to become more knowledgeable about the special problems which may be experienced by special populations (i.e., female, minority, aged, and disabled), faculty members, employees, and students. The University will provide in-house programs for administrators, deans, managers, and supervisors who have responsibility for addressing issues affecting these special populations. This program will include discussions led by key administrators, guest lecturers, and group discussions.

B. Dissemination of Policy

A statement affirming Oakwood University's commitment to equal opportunity employment practices shall appear on all employee information bulletins in such a position as to receive attention. The Human Resources Office and the Affirmative Action Advisory Committee shall review the policy statement periodically to ensure relevance and continued compliance with applicable laws.

The Human Resources Office, with assistance from other appropriate personnel, will seek to publish affirmative action material in appropriate media. The objective of this activity is to inform all employees, applicants for employment, and the general community of the University's affirmative action program. Publications, bulletins, and bulletin boards will be used as instruments of this policy. A special effort will be made to inform all prospective employees of equal employment opportunity policies during the initial selection process.

It will be the responsibility of the Human Resources Office, with the support of the administration, to conduct such workshops or information programs as will provide all personnel of the University with a basic understanding of the laws and their implications and to increase their awareness of their rights and opportunities. Equal employment opportunity policy statements are to be included in orientation packets given to new personnel, in personnel manuals, and in faculty and employee handbooks.

C. The University Will Follow These Hiring Procedures:

1. All staff job openings are to be referred to the Human Resources Office. All faculty openings are to be referred to the appropriate academic department.
2. University guidelines on employee selection and on its program of affirmative action are to be distributed to and discussed with all University personnel involved in the employment process.
3. A continuing effort shall be made to cultivate and utilize potential sources of minority, female, and disabled employees.
4. All full-time academic and non-academic positions shall be posted both internally and externally before final selection is made. The Human Resources Office will be

responsible for the campus distribution and posting of job notices at designated central posting areas within two working days of receiving notice of the availability of the position. Clearly dated notices shall indicate that job descriptions and qualifications shall be made available in the Human Resources Office.

5. In cases of recruitment of academic and professional personnel as well as for staff positions, it shall be the responsibility of all supervisors and employers to utilize potentially fruitful channels of recruitment for women, minorities, and the disabled that may include but are not limited to the following sources: advertisements in appropriate professional journals and job registries; Seventh-day Adventist publications.
6. Where search committees are used to locate candidates for appointment, such committees will specifically be charged with the responsibility of following affirmative action policies, and such committees should normally include among their members qualified women, minorities, and disabled persons, if available.
7. Assumptions about an individual's willingness or ability to relocate because of race, sex, or any other factor will not be made in such a manner as to exclude women, minorities, and disabled persons from consideration for a job opening. For example, it shall not be assumed that a woman would be unwilling to accept an offer because of her marital status.
8. In cooperation with the University Human Resources Office, the President of the University shall examine recruitment and employment policies of each unit of the University at least annually for the purpose of determining that all affirmative action policies are being conscientiously followed.
9. The University will seek to identify and eliminate practices that result in sex and minority discrimination and also discrimination against disabled persons.
10. The Human Resources Director will keep abreast of employment practices in every part of the University and will report in writing to the President all failures to comply with the affirmative action policies and procedures.
11. The University Human Resources Director will inform himself/herself of employment practices in every part of the University and will report in writing to the President all failure to comply with the affirmative action policies and procedures.

D. Promotion, Training, and Retention of Personnel

Oakwood University will provide fair promotion opportunities for all faculty and employees.

1. Appropriate, upgrading training is to be initiated within departments.
2. Promotional policies and requirements of the University shall be administered to ensure that women, minorities, and disabled persons have full participation in promotional opportunities.
3. All full-time faculty and staff are to be promoted according to regular steps and procedures in their respective categories.

4. In cases of reduction of personnel due to financial exigency or other causes, the termination of employees shall be implemented in a manner as to preserve legitimate interests of women, minorities, and disabled persons.
5. The Human Resources Director of the University will develop realistic job descriptions, titles, and wage scales for all hourly-rated positions within the University structure. The University Human Resources Director shall review these job classifications and descriptions and report to the President of the University any deviations from acceptable affirmative action policies.

E. Compensation and Benefits

The University will continue to review compensation and benefit policies and practices to ensure that they are fair and nondiscriminatory. The University will not unlawfully discriminate in matters of compensation and benefits.

F. Temporary Disability

The University has adopted the following temporary disability (including pregnancy) leave policy for all employees:

1. An employee may continue his/her job as long as the University with appropriate medical consultation determines that he/she is physically able to perform the job in a satisfactory manner without undue risk or injury.
2. Any temporary disabled employee is entitled to temporary disability (including pregnancy) leave without pay for up to four months. At the University's discretion, this leave may be extended if the employee presents reasonable written evidence of medical need for a longer leave.
3. An employee is eligible to return to work following temporary disability leave upon presentation of reasonable written evidence affirming that the employee is physically able to return to work.
4. An eligible employee may return from temporary disability leave to his or her former job, provided staffing requirements have allowed the affected department to keep such job open. If this has not been possible, he/she will be given top priority for any comparable jobs within the University.

G. Programs for Undertrained New Personnel

The University shall explore the feasibility of undertaking new programs that efficiently and economically meet staffing needs by helping undertrained disabled, female, and minority job applicants to become trained workers.

H. Committee Appointments

The University shall endeavor to include appropriate numbers of women, minorities, and disabled on all committees which make policy or significant decisions concerning the University.

I. Grievance Procedure

The grievance procedure described in the Faculty and Salaried Employee Handbooks is appropriate and shall be used in all instances where discrimination by the University is alleged.

J. Student/Alumni Placement Office

Oakwood University's Student/Alumni Placement Office is to continue to be administered in a manner which provides equal access to the placement office for all University students and alumni. The Placement Director shall annually furnish a written report to the University's Affirmative Action Officer of the office's success in placement of minorities, disabled persons, and women. If at any time the director has reasonable cause to believe any organization which deals with the office is discriminating on the basis of race, color, national origin, ancestry, physical handicap, age, sex, or prior military service, he/she shall promptly report such alleged discrimination to the Affirmative Action Officer for appropriate action.

IV. RESPONSIBILITY FOR DEVELOPMENT AND IMPLEMENTATION OF THE AFFIRMATIVE ACTION PLAN

- A. The University's Affirmative Action Officer shall be appointed by the President of the University. This officer shall be someone other than the Personnel Director and will report as an ex-officio to the President or his designee. The specific duties of the University's Affirmative Action Officer in this regard are:
1. To review the University's program of affirmative action periodically and to make recommendations concerning appropriate revision in that program;
 2. To monitor the progress of the University's affirmative action program and to report on such progress to the President;
 3. To coordinate the University's internal and external affirmative action communications;
 4. To provide affirmative action information, counsel, and assistance to all management and supervisory levels of the University;
 5. To perform internal and external research relative to equal opportunity, and to keep abreast of trends and government regulations in this area;
 6. To maintain liaison with relevant government agencies and community organizations;
 7. To be aware of and inform respective University official of any action reports which are required to be filed with governmental agencies, to ascertain that such reports are filed, and to prepare such other reports as are desired by the University administrator;

8. To investigate (personally or through a delegate) alleged incidents of discrimination; and
9. To perform such other duties as are stated herein or as may be appropriately assigned.

B. Other University Personnel

The directors, supervisors, and department chairpersons in the various units of the University are responsible for implementing all aspects of the program of affirmative action with respect to teaching faculty.

The Human Resources Office is responsible for implementing the program of affirmative action with respect to all University staff and administrative employees within its jurisdiction. The Human Resources Office is also charged with the responsibility for making known to employment sources the University's desire and commitment to employ greater numbers of women, minorities, and disabled persons with the requisite skills for projected staff openings. It has further responsibility for making known transfer and promotional opportunities within the University.

Finally, all members of the University community should be aware of the University's affirmative action policy.

V. MONITORING AND REPORTING

- A. Annually at a time selected by the President and the Affirmative Action Officer with the assistance and cooperation of the Affirmative Action Advisory Committee, the Vice President for Academic Affairs and the Personnel Director will evaluate the University's progress in its affirmative action program and report their findings in writing to the President of the University, who will make it available to the Board of Trustees. To the extent information and statistics are available, this report shall include:
 1. A demographic analysis of the work population.
 2. An assessment of the University's compliance with legal requirements in the area of affirmative action.
 3. An assessment of the results of recruitment programs.
 4. An analysis of employment and rejection of applicants by race, ethnic group, age, sex, and other classifications required by governmental authorities.
- B. The Vice President for Academic Affairs and Department Heads will be responsible for their operating units and affirmative action program and procedures. These include:
 1. Monitoring new appointments, promotions, transfers, terminations, and reviewing any significant trends, with respect to minorities, women, and disabled persons.

2. Reviewing employee evaluation procedures.
3. Compiling a brief report on the number of discrimination complaints received in each department and their final dispositions. Such reports shall be filed annually with the affirmative Action Officer after consultation with the reporting parties.
4. Providing all necessary information and assistance to the personnel director with respect to these monitoring activities.

VI. ACCOUNTABILITY

Appropriate disciplinary action will be exercised in the case of administrators, department heads, and all other supervisory personnel who willfully fail or refuse to cooperate and/or to administer the University's affirmative action plan.

VII. AFFIRMATIVE ACTION ADVISORY COMMITTEE

Appropriate committee members will be chosen to represent various segments of the faculty and staff in order to advise the administration regarding all aspects of affirmative action.

Document Title: WORKPLACE FREE OF HARASSMENT
Category: Human Resources – General Administrative Information
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [4/2010] [] [] [] Revision Dates [X] Replacement [] Addition
Replaced - Sexual Harassment Policy

Oakwood University, as part of its continuing commitment to equal employment opportunity, prohibits any acts of harassment on the basis on race, gender, color, religion, age, national origin, disability, or veteran status. Oakwood University will not permit conduct by any employee, whether intentional or unintentional, that creates an intimidating, hostile, or offensive working environment for others.

Objectives

Oakwood University is committed to providing a workplace free of unlawful harassment and discrimination affecting employees of the University, students, or members of the public.

Harassment Prohibited

Federal law and this policy prohibit harassment and discrimination based on one's race, gender, color, religion, age, national origin, disability or veteran status. Prohibited behavior includes, but is not limited to the following:

- a. Conduct or language derogatory to race, color, religion, national origin, gender, age, disability, or veteran status, including jokes, pranks, or epithets.
- b. Written or graphic material that denigrates or shows hostility or aversion toward an individual or group because of race, color, religion, national origin, gender, age, disability, or veteran status that is place on walls or bulletin boards or otherwise circulated in the workplace.
- c. Verbal or physical conduct of a sexual nature in which a submission or rejection of such conduct is used as the basis for any employment decision with regard to the harassed individual.
- d. Unwelcome sexual advances or touching; requests for sexual favors; sexual jokes, comments or innuendoes; or other conduct of a sexual nature which a person might find offensive; hazing, horseplay, or practical jokes based on an individual's gender, and visual material such as posters, cartoons, calendars, or pictures of a sexual nature or depicting partially clad or nude individuals.

Individual Responsibility

Oakwood University insists that all employees act in accordance with this policy, and bring any violations to the attention of the University Administration. Any employee, faculty member,

department head, officer, or supervisor who harasses another employee or student in violation of this guideline will be subject to disciplinary action up to and including termination.

- a. All levels of faculty and management, including supervisors, are accountable for ensuring compliance with this policy in their respective departments. Anyone who observes, has knowledge of, or receives any complaint concerning harassment, however insignificant it may seem, shall immediately contact his/her department head, a vice president, or the Director of Human Resources.
- b. Every employee is responsible to manage his or her own behavior and to inform others when offended, to ensure that harassment of coworkers does not take place.
- c. If an employee is a witness to, or subjected to workplace harassment, that employee should notify his or her supervisor immediately. An employee who feels uncomfortable discussing the issue with the supervisor should notify an appropriate department head, a vice president, or the Director of Human Resources.
- d. Any employee who feels he or she is being harassed by his or her supervisor need not bring the matter directly to the attention of that supervisor, but should immediately bring the matter to the attention of the department head, a vice president, or the Director of Human Resources.
- e. Each employee is expected to cooperate fully and honestly with investigation of possible violation of this harassment policy. Deliberately furnishing inaccurate information to investigators will be grounds for disciplinary action, up to and including discharge.

Oakwood University will not permit intimidation, harassment, or retaliation against any employees covered under this policy due to filing a complaint, assisting or participating in an investigation, opposing any unlawful act or practice, or exercising any other right protected by statute.

The President (or designee) is responsible for ensuring the consistent, timely, and appropriate investigation and proper resolution of all allegations or complaints of harassment. The President (or designee) will ensure that the confidentiality and privacy of individuals who report or are accused of harassment will be respected to the extent reasonably possible. Examples of situations in which confidentiality cannot be maintained include circumstances when the University is required by law to disclose information (such as in response to legal processes), when disclosure is required by the University's interest in protecting the rights of others, and when the University's investigation requires disclosure.

Document Title: AUTHORITY FOR THE RELEASE OF EMPLOYEE INFORMATION
Category: Human Resources - General Staff Information
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

PURPOSE

The purpose of this policy is to establish guidelines for releasing personal information on employees.

GENERAL

1. Information may be released to appropriate University officials who require the information in the performance of their official duties.
2. Information required for the conduct of official University business with external constituencies, unless otherwise prohibited by law, may be released.
3. Information may be released for the purpose of verifying employment (e.g. date of employment, job title, verify given salary, etc.).
4. Information may be released for former employees (e.g. date of employment, job title, etc.).
5. Information may not be released to individuals, groups, or other entities of the general public whose purpose is to use the information for personal or commercial gain or for profit-motivated activities.
6. Any other information may be available after collaboration with the administrator and human resources.

Document Title: AUTHORIZATION TO TERMINATE
Category: Human Resources – General Staff Information
Number:
Effective Date: May 1, 2000
Authority: Office of the President
Document Status: [] [] [] [] [] Revision Dates [] Replacement [] Addition

PURPOSE

The Authorization to Terminate will establish protocol to smoothly and efficiently facilitate the termination process while satisfying all legal requirements. Use of this form allows for due process before a final decision is made to terminate an employee, including input from the unit administrator and the president.

PROCEDURES

1. The terminating department head will forward, in writing, a recommendation to terminate to the unit administrator.
2. The unit administrator will review the recommendation.
3. The Authorization to Terminate form will be initiated by the unit administrator.
4. The President will review and approve.
5. The form will be sent to the Office of Human Resources for dissemination of copies.
6. The unit administrator will write the letter of termination to the employees.
7. The terminating employee will be instructed to contact the Office of Human Resources to facilitate the Clearance Procedure.

In order for a terminating employee to receive the final pay check, a Clearance Procedure Form must be completed and returned to the Office of Human Resources.

Document Title: CONFLICT OF INTEREST
Category: Human Resources - General Staff Information
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

Oakwood University follows the conflict of interest philosophy as stated in the North American Division of Seventh-day Adventist Working Policy that all faculty, employees, trustees, and officers of Oakwood University have a duty to be free from the influence of any conflicting interest when they represent Oakwood University in negotiations or make representations with respect to dealing with third parties, and they are expected to deal with all persons doing business with Oakwood University on a basis that is for the best interest of Oakwood University without favor or preference to third parties or to personal considerations. Faculty, employees, trustees, and officers of Oakwood University are always to follow the established policies of the organization.

DEFINITION OF CONFLICT

A conflict of interest arises when a faculty member, employee, trustee, or officer of Oakwood University has, or their immediate family members have such a substantial personal interest in a transaction or in a party to a transaction that it reasonably might affect their duties and/or judgment which they exercise on behalf of Oakwood University or its affiliates.

Annually, the following individuals must complete a Conflict of Interest Statement:

All members of the Board of Trustees
The University Officers/Administrators
All others as determined by the President's Council

The Conflict of Interest Review Committee will review annually to note compliance and refer potential conflicts to the President. The Conflict of Interest Review Committee consist of the following:

Human Resources Director
Vice President of Finance
Controller

All members of the Board of Trustees, employee/faculty, officers, and students involved in funded research must complete a Conflict of Interest Statement and appropriate review process within 30 days of hiring/appointment or acceptance/assignment into a research project.

It is not feasible in a policy statement to describe all the relationships that might have a potential for conflict of interest. However, the following relationships are sufficiently likely to involve a conflict of interest so as to require disclosure by the involved board/employee/faculty member or student and review by the designated University committee. The review process explores whether there are potential benefits to the University or its affiliates from allowing the relationship(s) to continue or if it is in the best interests of the University or its affiliates that the relationship(s) be terminated. If the relationship(s) is to continue, the committee will specify, in writing, the conditions that are to be imposed in order to protect the University or its affiliates' interests.

1. Engaging in outside business or employment that permits encroachment on Oakwood University or its affiliates' calls for the employee/faculty member's full services as reasonably expected in view of employment agreement, even though there may be any other conflict.

2. Engaging in business with or employment by an employer that is likely to be competitive or in conflict with any transaction, activity, or objective of Oakwood University or its affiliates.
3. Engaging in any business with or employment by another employer (including the provision of consulting services) who is a supplier of goods or service to Oakwood University or its affiliates.
4. Making use of the fact of employment by Oakwood University or its affiliates to further outside business or employment, or associating Oakwood University or its affiliates, or its prestige with an outside business or employment.
5. Purchasing or leasing any property with knowledge that Oakwood University or its affiliates has an active interest therein.
6. Lending money to, or borrowing money from (excluding banks, savings and loans, trust companies, and credit unions), any third party who is a supplier of goods or services, or a trustor, or who is in any fiduciary relationship to Oakwood University or its affiliates, or is otherwise regularly involved in business transactions with Oakwood University or its affiliates.
7. Accepting any gratuity, favor, benefit, or gift of greater than nominal value for personal use beyond the common courtesies usually associated with accepted business practice, or of any commission or payment of any sort in connection with work for Oakwood University or its affiliates other than the compensation agreed upon between Oakwood University or its affiliates and the employee.
8. Making use of any confidential information acquired through employment by Oakwood University or its affiliates for personal profit or advantage, directly or indirectly.
9. Serving as investigator on a clinical trial or other research involving a product or process while serving as a paid consultant to an entity producing or developing the same or a competitive product or process.

Conditions for professional activities external to the University are stated in the *Faculty Handbook* and the *Staff Handbook*. Policies on intellectual properties and derived royalties are contained in the *Faculty Handbook*. In reviewing activities in these areas, Conflict of Interest Review Committees will use these policies.

Completed Conflict of Interest Statements and the Review Committee actions and discussions are treated as confidential information. No copies of the Conflict of Interest Statements and review committee actions are kept outside the Office of the President. Review of these files can be made only with written approval of the President of the University.

For this policy, immediate family is defined as spouse, children, and parents (individual completing the form and his/her spouse).

For this policy, affiliates is defined as Oakwood University and its subsidiaries.

For this policy, funded research is defined as research for which external or internal funds are being used to support stipends for researchers working on that project.

Document Title: FACULTY/STAFF-STUDENT NON –FRATERNIZATION POLICY
Category: Human Resources/ Student Services – General Staff Information
Number:
Effective Date: May 1, 2005
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [X] **Addition**

RATIONALE

Oakwood University holds its administrators, faculty and staff to its highest ethical and professional standards. A faculty/staff-student non-fraternization policy is established in order to promote the efficient and fair operation of the University, to avoid conflict of interest, misunderstanding, complaints of favoritism, supervision problems, morale problems, questions regarding academic achievement and sexual harassment.

POLICY

All administrators, faculty, and staff are prohibited from unethical or inappropriate fraternization with students, including, but not limited to, dating, pursuing a date, having or pursuing a romantic or sexual relationship with students. Violators of this policy shall be subject to discipline, up to an including termination of employment.

This policy applies to all administrators, directors, supervisors, regular and temporary faculty, teaching and research assistants, regular and temporary staff, contract workers and students of Oakwood University.

DEFINITION OF FRATERNIZATION

Fraternization is defined as a consensual romantic or consensual sexual relationship between individuals who occupy different levels of authority in the institution. This occurs when one partner of higher status and/or power with explicit or implicit authority over, or the power to reward, misuses that power to entice that partner of lower status and./or power into an illicit relationship. Fraternization includes, but is not limited to the following behaviors:

- Consensual romantic or sexual relationship between employee and student
- Employees dating or pursuing to date a student
- Having or pursuing a relationship that creates a conflict of interest
- Inappropriate advances in pursuit of a romantic sexual relationship with a student
- Violation of academic policies, employee codes or student codes in the pursuit of a consensual romantic or sexual relationship
- The encouragement of emotional dependence of students upon faculty and/or staff
- Consensual social engagement arranged by a third party with the intent of pursuing a consensual romantic or sexual relationship

REPORTING OF FRATERNIZATION

All students, employees, and officers have an obligation to report known fraternization. Reports of fraternization shall follow the same protocols and procedures as outlined in the Sexual Harassment

Policy of the staff, faculty and student handbooks. All concerns should be reported, for review, to any of the following

President
Provost
Any Vice President

Director of Human Resources
Academic Chairs
Department Directors

Document Title: **HIRING PROCEDURE**
Category: **Human Resources – General Staff Information**
Number:
Effective Date: **April 5, 1999**
Authority: **VP for Financial Affairs**
Document Status: **[4/2010] [] [] [] Revision Dates [] Replacement [] Addition**

Hiring procedures are conducted by the Office of Human Resources. All inquiries regarding employment on campus are to be directed to the Office of Human Resources (HR) which will arrange for the initial interview and other essential steps in the hiring process.

1. The department head completes the Job Announcement Form and forwards it to the appropriate University Officer for approval by the President's Council.
2. The University Officer forwards the signed form to HR for advertising for a minimum of one week.
3. HR receives applications and administers clerical and other skills testing, where applicable.
4. HR forwards the qualified applicants and Interview Guidelines to the department head.
5. The department head conducts interviews, ranks the top three applicants, and sends a decision memo to HR through the appropriate University Administrator.
6. A review of references and a background check are conducted by HR, as necessary.
7. The department head notifies the top candidate, directs him/her to HR to complete the necessary paperwork (tax forms, I-9, etc.); a Personnel Requisition Form is processed with the proper signatures. *
8. Upon receipt of a signed requisition, HR schedules an orientation of benefits for the new full-time employee. For the new part-time employee, the department head conducts a departmental orientation. Part-time employees changing to full-time status will attend an orientation session conducted by HR. Orientations are generally held on the same day as staff meeting.

*Permission to begin work becomes effective only after the Personnel Requisition has been signed by the President of the University, which is the final signature in the process. Therefore, the prospective employee begins work after HR has notified the department head that a signed requisition has been received. This process will take a minimum of two weeks.

Interview Eligibility

To be eligible for an interview, the applicant must:

1. Have a completed application on file in the Office of Human Resources.
2. Have his/her name placed on the Human Resources Employment Register.

Employment Register

The employment register contains names and test scores (if applicable) of prospective employees who meet the requirements as outlined on the Job Announcement Form. This is available to department heads upon request.

Payroll Requirements

To be placed on the payroll, the prospective employee must complete and submit the following:

1. An Employment Eligibility Verification Form (I-9)
2. A W-4 Tax Withholding Form (Federal Income Tax)
3. An A-4 Tax Withholding Form (State Income Tax)
4. A Direct Deposit Form

Note: Employees are required to complete a direct deposit form. A form is available at the Distribution Window or the HR Office.

A paycheck will be received in accordance with the time schedule for receiving paychecks.

Working Hours

Working hours for full-time employees will be those of the general institution (8:00 a.m. – 5:30 p.m., Monday –Thursday; 8:00 a.m. – 12:00 noon on Fridays) unless special conditions dictate otherwise. One hour is allotted for lunch and should be taken away from the desk.

Part-time employees' hours will be assigned by the respective department heads.

Clocking In/Clocking Out Policy

Hourly workers are to clock in and out each day including for the lunch hour. Time cards that do not reflect an hour for lunch will automatically be docked one hour for lunch, unless prior approval has been submitted (complete policy on file in HR).

Introductory Period

The first three months of employment are designated as an introductory period. This is to give the employee and the University an opportunity for evaluation.

At the end of the introductory period, after three months of continuous satisfactory performance, the employee achieves regular full-time status. An extension of the introductory period shall not exceed one month, if necessary, before regular status is granted.

Document Title: INTERNAL DISPUTE RESOLUTION
Category: Human Resources – General Staff Information
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [4/2010] [] [] [] **Revision Dates** [X] **Replacement** [] **Addition**
Replaced - Grievance Policy

STATEMENT OF INTENT

Oakwood University values each of its employees and looks forward to good relations with, and among, all employees. Whenever people of diverse backgrounds and experiences work together, however, misunderstandings and disagreements may occur. We believe workplace concerns are best resolved through open and candid discussions with your supervisor, and we encourage you to discuss any concerns as soon as they arise. If, however, you disagree with an employment-related action or decision which you feel requires more in-depth or formal review, you may use the Internal Dispute Resolution (IDR) process set out herein.

Limitations

Administrative and staff employees who have been employed at the University for a minimum of one full year are entitled to utilize the IDR process. By initiating the IDR process, you agree to follow, comply with, and be bound by the terms and limitations of the IDR process as set out herein.

Starting the IDR Process

To start the IDR process, you must first seek to resolve the matter informally by discussing it with your departmental supervisor. If the problem is not resolved at this level, you must take the following steps:

Step 1: Submit a written statement of your concern (documenting pertinent facts, circumstances, and your reasons for concern) to your departmental supervisor. This statement must be submitted within five working days of your informal discussion with him/her. It is the intent of the IDR process to resolve disputes at the lowest possible level. If it is not resolved at the initial stage, you may appeal in accordance with the following steps:

Step 2: Next ranking officer in your division

Step 3: Vice President of your division

Step 4: President of Oakwood University, who will refer the matter to an IDR Committee.

Appeals to the next higher level of review must be submitted in writing within five working days from receiving a response at the prior level, except that an appeal from Step 3 to Step 4 must be made within fifteen working days of receiving a response from Step 3. When submitting a written appeal to a higher level, you must include a copy of all documents submitted at previous levels. In addition, a written request for an appeal to Step 4 must specifically request an IDR hearing, state the problem at issue, and explain efforts made to resolve the conflict prior to the request for review by the IDR Committee.

- a. If you do not appeal a decision at any level to the next level within five working days, then you agree to be bound by the decision at the prior level and waive any rights to pursue the matter further internally or otherwise.

- b. After receiving a request to appeal to Step 4, the President or his/her designee shall notify the chair of the IDR Committee, who shall arrange for a hearing of the matter, giving you and your department officials five days written notice of time and place of the hearing.
- c. The IDR Committee shall consist of seven full-time employees who have been in continuous service at the University for a minimum of five years. Alternate members may be appointed as the need arises. The term of service for all members shall be two years, with no more than three consecutive appointments. Committee members shall be selected by the President from nominations made by any Oakwood employee.
- d. The chair of the IDR Committee shall preside over the hearing and shall have the authority to control and limit the hearing as he/she deems appropriate. You may bring one, but no more than three, witnesses to the hearing to support your position. You may submit to the committee any documentation you believe supports your position. Any documentation you wish to submit must be delivered to the chair of the committee at least three working days before the hearing. You are not allowed to have an attorney represent you during the hearing.
- e. Your department's representatives will not be present at the hearing when you (and any supporting witnesses) give your position to the committee. And you will not be present when the department gives its position to the committee.
- f. Within a reasonable time, the IDR Committee shall prepare a written report summarizing the case and submit a written recommendation to the President, who shall notify the employee in writing of the final disposition of the matter.
- g. The President's written response to the employee shall be final and binding on you and your department.
- h. No management decision or disciplinary action will be delayed or postponed as a result of your having invoked the IDR process. You may use the IDR process without fear of reprisal, and you will not be subjected to any retaliatory actions for having invoked the process.
- i. If your employment-related complaint involves claims of discrimination and/or harassment, you should report such claims in accordance with Oakwood's Workplace Free of Harassment Policy. In addition to Oakwood's Workplace Free of Harassment Policy, you may also utilize the IDR process as a method of resolving any complaint relating to discrimination and/or harassment.

Document Title: LIFESTYLE
Category: Human Resources – General Staff Information
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

In harmony with its heritage, Oakwood University as a Seventh-day Adventist institution fosters a lifestyle among its faculty, staff, and students that contributes to vibrant health and a positive Christian experience. Faculty and staff, are called upon to model behavior which students follow in the practice of their professions and in their personal lives.

The overarching moral principles and values of the Bible and Spirit of Prophecy serve, in the broader context, as the ultimate guide for Christian living to which Oakwood University is committed. The following emphasize guidelines in some specific areas.

ETHICAL ENVIRONMENT

Christian Appearance

- | | |
|-----------------|---|
| <i>Clothing</i> | Clothes which are compatible with a businesslike and professional environment are required at all times. Conservative and appropriate dress is expected of all faculty and staff. |
| <i>Jewelry</i> | The wearing of jewelry is not acceptable. |
| <i>Make-up</i> | The emphasis should be on the natural appearance; conspicuous make-up is not acceptable. |
| <i>Hair</i> | Extremes or fads in hairstyle are not acceptable. |

Alcohol, Controlled Substances, and Tobacco

Oakwood University is committed to provide a learning environment contributive to the fullest possible development. The University adopts the temperance practices and health principles espoused by the Seventh-day Adventist Church. This means that all faculty, employees, and students are expected to refrain from the use of alcohol, controlled substances, and tobacco while enrolled or employed at the University. Violation of this policy is subject to review and action pursuant to faculty, employee, and student disciplinary and severance policies, and the University's drug-free policy.

Moral Integrity

Faculty, staff, administration, trustees, and students of the University are expected to uphold the sexual standards of the Seventh-day Adventist Church¹ in their teaching, influence and example. God's ideal for sexuality is achieved when sexual expression is limited to a husband and wife committed in lifelong marriage. All expressions of premarital and extramarital friendship are to be chaste. All forms of sexual abuse, exploitation, and promiscuity are contrary to the ideas of the University.

Oakwood University honors an ideal of sexual purity, which transcends mere legal enforcement.

- 1 “Seventh-day Adventists believe marriage was divinely established in Eden and affirmed by Jesus to be a lifelong union between a man and a woman in loving companionship. Mutual love, honor, respect, and responsibility are the fabric of this relationship, which is to reflect the love, sanctity, closeness, and permanence of the relationship between Christ and His church.” (*Seventh-day Adventist Believe*, Hagerstown, MD: Review and Herald Pub. Assn., 1988) p. 294.

As understood by the Seventh-day Adventist Church, sexual practices that are contrary to God’s expressed will are adultery and premarital sex, as well as obsessive sexual behavior. Sexual abuse of spouses, sexual abuse of children, incest, homosexual practices (gay and lesbian), and bestiality are among the obvious perversions of God’s original plan (“Actions of General Interest from the 1987 Annual Council: Statement of Concerns on Sexual Behavior,” *Adventist Review*, January 14, 1988) p. 21.

In the spirit of valuing and supporting Christian interaction, Oakwood University encourages kindness and integrity.

Document Title: NEPOTISM: EMPLOYMENT OF RELATIVES
Category: Human Resources – General Staff Information
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

The University exercises care in the employing and placing of members in the same family. The University hires all persons on the basis of individual merit and thus does not preclude the employment of relatives. However, it is preferred that they be assigned to different departments.

No University employee should act on matters affecting a relative's initial hiring, promotion, salary, or annual evaluation. Such decisions shall be made by the next higher authority in consultation with the appropriate University Officer.

Close relatives can and do work at the University; however, an employee is not to be placed in a position of direct supervision over a close relative, or in a position where a close relative's progress could be affected directly or indirectly by the employee. This also applies to student workers.

Title: PERSONNEL DOCUMENTS AND RECORDS
Category: Human Resources – General Staff Information
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

THE PERSONNEL FILE

The individual personnel file for every faculty member is maintained by the Vice President for Academic Affairs and may include, but it is not limited to the following: a) an updated resume, b) a summary of faculty load equivalency; c) certified transcripts, d) summaries of ratings and evaluations of the faculty member's performance by the students, peers, and supervisors, e) any other faculty materials a faculty member deems appropriate for professional records.

This set of personnel files will be kept in confidence in the office of the Vice President for Academic Affairs, access to his/her files by a person not indicated above. The faculty member is cautioned that such authorized access by others may impinge on the rights of additional persons and the Vice President for Academic Affairs may decide to authorize such additional person's access to the faculty member's file.

Further, the University may permit access to and copying from such files pursuant to lawful requests for federal or state agencies relevant to investigations, hearings, or other proceedings pending before such agencies or the courts.

Each employee has a file of official employment records in the Office of Human Resources. These records are to establish an accurate picture of the employee's experience with the University. In order to help keep this record current, employees are to notify the Office of Human Resources of any change in the following: a) name; b) address; c) marital status; d) dependents; e) telephone number; f) citizenship; g) person to notify in case of emergency; h) registration, certification, licensure; i) coursework completed; j) any additional pertinent information.

Employees have the right to inspect their own personnel records in the presence of the Human Resources Director or designee.

Document Title: CHILD/ELDER CARE
Category: Human Resources – Financial Policies and Benefits
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [4/2010][] [] [] Revision Dates [] Replacement [] Addition

Regular full-time employees are eligible to utilize the Child/Elder Care Assistance Benefit. The care must be provided by a licensed care facility, and must be for a dependent child (i.e., born to or legally adopted by employee/spouse) or dependent parent. An itemized statement of anticipated charges must be submitted with the application for consideration. Proof of dependency for parent (copy of Income Tax Return) is required. Employee must submit a paid receipt for reimbursement to the Office of Human Resources. Reimbursement will be granted on services rendered.*

*Receipts are to be submitted within 30 days. A new application is required each fiscal year and/or if there is a change in Provider.

Document Title: EMPLOYEE CLEARANCE PROCEDURE
Category: Human Resources – Financial Policies and Benefits
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] [] Revision Dates [] Replacement [] Addition

When an employee terminates his/her employment with Oakwood University, the following clearance procedure is followed.

If the exit is voluntary, a letter of resignation or Notice of Termination Form is to be written to the President or other designated official with a copy to the vice president of the employee's division and to the Human Resources Office. The letter is to include the employee's name, title, date of employment, and expected last day of work. It may also include the reason(s) for termination and comments about working at Oakwood University. It should include a forwarding address and phone number. In addition to the President and division vice president each receiving a copy, one copy must go to the Office of Human Resources.

All exiting employees must, within twenty-four hours of the date of notification of termination, report to the Human Resources Office for a briefing on exit/termination procedure and/or requirements and to obtain an Employee Exit Form for completion. The University reserves the right to retain the departing employee's final check until all required termination clearances or tasks are completed.

The completed Employee Clearance Procedure Form is to be returned to the Office of Human Resources. A copy of the letter of resignation is attached and placed in the personnel file. For faculty members, a copy is also sent to the Vice President for Academic Affairs.

Each department/unit head shall be responsible for ensuring that the terminating employee completes the Employee Clearance Procedure Form. It is the responsibility of the exiting employee to complete the employee exit procedure. University property not returned or accounted for or accounts not cleared may be deducted from final check. The final payroll check is not released until the employee exit procedure is completed. Unless otherwise approved by the Vice President for Financial Affairs, issuance of final payroll checks to persons leaving the employ of the University are made on the next regularly scheduled date for the departing employee's pay group.

Document Title: FAMILY AND MEDICAL LEAVE ACT (FMLA)
Category: Human Resources – Financial Policies and Benefits
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [10/2010][] [] [] Revision Dates [] Replacement [] Addition

FAMILY AND MEDICAL LEAVE

Under the FMLA, eligible employees are entitled to up to 12 weeks of unpaid, job-protected leave during a single 12 month period for the following reasons:

- For incapacity due to pregnancy, prenatal medical care or child birth;
- To care for the employee’s child after birth, or placement for adoption or foster care with the employee;
- To care for the employee’s spouse, son or daughter, or parent, who has a serious health condition; or
- For a serious health condition that makes the employee unable to perform the employees’ job.

Military Family Leave Entitlements

Eligible employees with a spouse, son, daughter, or parent on active duty or call to active duty status in the National Guard or Reserves in support of a contingency operation may use their 12-week leave entitlement to address certain qualifying exigencies. Qualifying exigencies may include attending certain military events, arranging for alternative childcare, addressing certain financial and legal arrangements, attending certain counseling sessions, and attending post-deployment reintegration briefings.

In addition, eligible employees are entitled to take up to 26 weeks of unpaid, job-protected leave to care for a Covered Servicemember during a single 12-month period. A Covered Servicemember is a current member of the Armed Forces, including a member of the National Guard or Reserves, who has a serious injury or illness incurred in the line of duty on active duty that may render the servicemember medically unfit to perform his or her duties for which the servicemember is undergoing medical treatment, recuperation, or therapy; or is in outpatient status; or is on the temporary disability retired list.

Eligibility Requirements

To be eligible for FMLA leave, employees must have worked for at least one year and for 1,250 hours over the previous 12 months.

Benefits and Protections

If applicable an eligible employee on FMLA leave will continue to receive health coverage under a “group health plan” on the same terms as if the employee had continued to work. Upon return from FMLA leave, most employees will be restored to their original or equivalent positions with equivalent pay, benefits, and other employment terms. The use of FMLA leave alone will not result in the loss of any employment benefit that accrued prior to the start of an employee’s leave.

Definition of Serious Health Condition

A serious health condition is an illness, injury, impairment, or physical or mental condition that involves either an overnight stay in a medical care facility, or continuing treatment by a health care provider for a condition that either prevents the employee from performing the functions of the employee's job, or prevents the qualified family member from participating in school or other daily activities.

Subject to certain conditions, the continuing treatment requirement may be met by a period of incapacity of more than 3 consecutive calendar days combined with at least two visits to a health care provider or one visit and a regimen of continuing treatment, or incapacity due to pregnancy, or incapacity due to a chronic condition. Other conditions may meet the definition of continuing treatment.

Use of Leave

Leave can be taken in one block of time or intermittently or on a reduced leave basis when medically necessary. Employees must make reasonable efforts to schedule leave for planned medical treatment so as not to unduly disrupt the University's operations. Leave due to qualifying exigencies may also be taken on an intermittent basis.

Substitution of Paid Leave for Unpaid Leave

To the extent available, employees must use all accrued and available paid leave while taking FMLA leave. While the paid leave is running concurrently with FMLA leave, employees must comply with the University's normal paid leave policies.

Employee Responsibilities

Employees must provide 30 days advance notice of the need to take FMLA leave when the need is foreseeable. When 30 days notice is not possible, the employee must provide notice as soon as practicable and must comply with the University's normal call-in procedures.

In addition, employees must provide sufficient information for the University to determine if the leave qualifies as FMLA leave as well as the anticipated timing and duration of the leave. Sufficient information includes that the employee is unable to perform job functions, the family member is unable to perform daily activities, the need for hospitalization or continuing treatment by a health care provider, or circumstances supporting the need for military family leave. Employees also must inform the University if the requested leave is for a reason for which FMLA leave was previously taken or certified. Employees also may be required to provide a certification and periodic recertification supporting the need for leave.

Response from the University

Employees requesting leave will be informed whether they are eligible under the FMLA. If so, the University may request additional information at that time. If not, the employee will be informed of the reason(s) for the ineligibility. Eligible employees will be informed whether the leave will be designated as FMLA leave and, when applicable, the amount of leave counted against the employee's leave entitlement. Alternatively, the employee will be informed if the leave requested does not qualify for FMLA leave.

Unlawful Acts

Pursuant to the FMLA, the University will not interfere with, restrain, or deny the exercise of any right provided under FMLA or discharge or discriminate against any person for opposing any practice made unlawful by FMLA or for involvement in any proceeding under or relating to FMLA. If an employer commits an unlawful act under the FMLA, an eligible employee may file a complaint with the U.S. Department of Labor or file a private lawsuit. The University will not retaliate against any employee who requests FMLA leave. If an employee believes he/she has been retaliated against, the employee is directed to use the complaint process set forth in the Workplace Free of Harassment and/or Discrimination Policy.

Applicability to Other Laws

The FMLA does not affect any Federal or State law prohibiting discrimination, or supersede any State or local law or collective bargaining agreement which provides greater family or medical leave rights.

For additional information: Contact the Office of Human Resources at extension 7273.

Document Title: FAREWELL GIFTS
Category: Human Resources – Financial Policies and Benefits
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [4/2010][] [] [] Revision Dates [] Replacement [] Addition

Employees leaving Oakwood University (with a minimum of two years of service) shall be honored with a monetary gift from the University. Eligibility shall be as follows:

- Employee leaves while in good standing, including retirement and voluntary resignation; the years of service considered shall be limited to employment with Oakwood University only. Upon completion of the clearance procedure through the Human Resources Office, the gift will be processed through payroll.
- Employees receiving termination settlement severance pay are not eligible to receive the farewell monetary gift.

Document Title: FREE COURSE: FOR EMPLOYEES/SPOUSES
Category: Human Resources – Financial Policies and Benefits
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] [] Revision Dates [] Replacement [] Addition

The policy of the University makes it possible for regular full-time employees to take one free course each semester. This applies only to those courses taken at Oakwood University. The provision for a free course does not cover private music lessons, student internships, field courses, and other courses that require more than one class period away from the job. If the course is job related, employees do not have to make up the time away from work. Employees approved by their supervisors to take a non-job related course during work hours must make up the time. Hourly employees are to clock out for the class. The supervisor is required to monitor time away from the job and to see that the time is made up. The steps for applying for approval are as follows:

1. The employee completes the Free Course Application form, obtainable from the office of Human Resources, at least one week prior to registration. The number of credit hours for a free course is not to exceed three.
2. The supervisor must consider the employee=s workload/schedule and whether or not the course is job related before making a recommendation to the appropriate University officer for approval.
3. The University Administrator approves or disapproves the application and then forwards the form to the Office of Human Resources.
4. The Office of Human Resources verifies that the form is completed accurately, including verifying that the course requested is job related and then mails a copy of the approved or disapproved form to the employee.
5. Any application that is not completed properly, including completing how time will be made up if the course is not job related, is returned unprocessed.

SPOUSES OF FULL-TIME EMPLOYEES

Spouses of a full-time faculty member and administrative staff member is eligible to take one free course each semester at the institution. The steps for applying for approval are as follows:

1. Application for a spouse of an employee must be signed by the employee and University Officer and submitted to the Office of Human Resources for processing.
2. Eligible spouses, who are employed part-time by Oakwood University, cannot take advantage of free courses offered during their assigned working hours. For a course taken after working hours, the spouse must then follow the above procedure.
3. Any application that is not completed properly will be returned unprocessed.

Document Title: HOLIDAY PAY FOR PERSONNEL WHOSE WORKDAY FALLS ON AN OFFICIAL HOLIDAY
Category: Human Resources – Financial Policies and Benefits
Number:
Effective Date: May 1, 2000
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

PURPOSE

To provide flexibility for Public Safety personnel whose work day falls on an official holiday.

PROCEDURE

Public Safety personnel whose work schedule falls on an official holiday will receive regular pay for the day and be given an opportunity to take a day off at a later date, with supervisory approval.

Document Title: MEAL PLAN
Category: Human Resources – Financial Policies and Benefits
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [4/2010][] [] [] Revision Dates [] Replacement [] Addition

Regular full-time employees are eligible for the free meal plan once benefits begin. An activated I.D. card is used to gain access to the free meals which begins on the first day of instruction and ends on the last day of instruction each semester. New employees must bring their I.D. card to Human Resources to be activated for the free meal plan.

Document Title: MOVING AND TRAVEL EXPENSE
Category: Human Resources – Financial Policies and Benefits
Number:
Effective Date: May 1, 2000
Authority: VP for Financial Affairs
Document Status: [4/2010][][] [] Revision Dates [] Replacement [] Addition

It is the general practice of Oakwood University to offer assistance for moving and travel expenses for regular full-time Administrators, faculty and middle management employees. Approval for such assistance must be granted by University Administration. Information regarding moving and travel expenses will be included in the offer for employment. All moving and travel items will be handled through the Human Resources Office.

Assistance will be paid according to the following schedule:

1. **Household goods:** Three estimates from reputable moving companies for moving of household goods must be submitted to the Human Resources Director. Allowance is up to 12,000 lbs. for a family, and up to 6,000 lbs. for a single person. An authorized purchase order will be issued to the moving company with the lowest estimate. (Automobiles are not considered as household goods).
2. **Moving Allowance:** Fifty percent of the current year wage factor is reimbursable for a family, 25% for a single person.
3. **Maximum Assistance:** The University does not pay to move vehicles. The current mileage rate will be granted to move a vehicle and shall be limited to two vehicles. One flat moving allowance per family will be granted even though both spouses are employed.
4. **Insurance Claims:** The employee is responsible for negotiating claims and/or damages with the moving company.
5. **Storage:** Employees are encouraged to wait until housing is secured in the Huntsville area before moving their household goods. However, the University will allow storage charges for exceptional cases for a limited period of time. Approval must be obtained from the Vice President of Academic Affairs and Human Resources Director for faculty moves prior to shipment of household goods. The maximum the University will allow for storage is four days.
6. **Travel Expense:** The University will pay automobile mileage for the shortest route. Actual expenses will be paid according to the currently approved travel allowance (per mile and per diem) for a total of two automobiles.
7. **Sharing Moving Expenses:** When calls are extended to a husband and wife to join two different denominational institutional organizations in the same area, the cost of moving shall be shared by the calling organizations. However, when the initial call is for one spouse and the other spouse obtains employment, the organization that initiates the primary call shall be responsible for the full cost of the move.

8. **Agreement:** The total moving expense paid by the University will be amortized over a period of three years at the following rate: the first year at 25 %, the second year at 25 %t and the third year at 50 %.

If voluntary termination of employment becomes necessary within three years, the staff member must reimburse the University for the unamortized amount of the incurred moving and traveling expenses. The employee must initially agree to authorize the holding of his or her final check until the obligation has been paid.

Any other arrangements that are not covered by this policy are to be made with the Office of Human Resources.

Document Title: OFFICIAL HOLIDAY SCHEDULE
Category: Human Resources – Financial Policies and Benefits
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [4/2010][] [] [] Revision Dates [] Replacement [] Addition

OFFICIAL HOLIDAYS

The number of paid holidays granted in one year shall be limited to nine. Employees are entitled to the following holidays: New Year's Day, Martin Luther King's Birthday, Memorial Day, the Fourth of July, Labor Day, thanksgiving (2 days), Christmas Eve and Christmas Day.

PAY FOR HOLIDAYS

The University maintains regular pay for regular full-time and regular part-time employees when holidays fall on scheduled work days. Student and temporary employees are ineligible for holiday pay.

University holidays falling during scheduled vacation or outage due to illness will not be charged to vacation or sick leave.

Document Title: PERFORMANCE EVALUATIONS

Category: Human Resources – Financial Policies and Benefits
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [02/2012] **Replacement** [] **Addition**

Scope & Frequency

In order to assure high quality performance, professional growth, developmental feedback, and contributions to the institution, Oakwood University has in place a system of performance evaluation. The evaluation system is linked to the University's mission and goals through the strategic plan. The system consists of three distinct employee categories of personnel: (1) administrative, (2) faculty, and (3) staff. Every employee in each category should be evaluated annually. It is recommended that the performance evaluation be completed and administered by the end of the first quarter of the calendar year (March 31). All evaluations must be completed and administered no later than the end of the fiscal year (June 30). The following is an overview of the evaluation system. The Evaluation Process is attached as **Exhibit A**.

Rating & Effectiveness:

Each evaluation document is designed to rate an employee's performance from "exceptional" to "unsatisfactory. If an employee's performance is rated excellent or above average the evaluator should consult with the division vice president to determine what approved internal mechanism should be used to reward the employee. If an employee's performance on any evaluated item is less than satisfactory the following steps should be taken:

1. The evaluating supervisor should design a developmental plan to track and record interim performance over a specific period of time and to reinforce and coach to improve performance and to further develop the employee.
2. The employee is allowed the opportunity to inform the supervisor about barriers to successful completion of the plan. Then together the employee and the supervisor can assess the relevance of goals and make appropriate modifications. The agreed on plan and timeline will be submitted to the HR Director for monitoring purposes.
3. The supervisor will initiate and document interim review meetings to discuss performance progress to date and within the agreed on timeline and prior to the next annual evaluation.

Each department is encouraged to have an individual Developmental Plan on file for each employee. The Development Plan should address, if needed how to improve present performance, preparing for promotional opportunities, how to undertake new responsibilities, and how to undertake career development goals. The individual development plan shall be reviewed and updated at the time of the annual performance review and shall be monitored during the appraisal period.

Administrative Evaluations

Administrative evaluations will be conducted at two levels, Presidential and University Officer.

Board Evaluation of the President. The Board of Trustees will evaluate the President of the University. This evaluation will consider institutional achievements as they relate to the realization of the University mission and higher education standards of quality, along with the typical standards for executive level performance in university leadership.

President's and Peer Evaluation of University Officers. Each University Officer, administrative unit head, is evaluated annually by the President of the University as well as the other University Officers.

These evaluations are structured to evaluate achievement of the University's goals for the respective administrative unit as set forth in the unit's component of the institutional strategic plan. The evaluations measure effectiveness in three core areas: leadership performance, productivity, and attitude.

Employee Evaluation of the President & University Officers: University employees have the opportunity to evaluate the President and other University Officers at least every five years.

Faculty Evaluations

The multifaceted Faculty Evaluation System is comprised of six independent assessments:

Students' Evaluation of Courses: Students conduct evaluations of faculty performance in teaching on a class-by-class basis each semester or term.

Peer Review of Faculty Performance: Peer review is conducted for the purpose of evaluating teaching performance as measured by specific criteria outlined in policy and the standards of the particular discipline.

Chairperson's Evaluation of Faculty Performance: The academic department chairpersons evaluate the quality of faculty members' teaching, research and scholarly activity, and professional service.

Faculty Evaluation of Chairperson Performance: Department faculty members evaluate the leadership performance of the academic department chairpersons.

Vice President's Evaluation of Chairperson Performance: The Vice President for Academic Affairs evaluates the performance of the chair of each academic unit.

Faculty Evaluation of the Vice President for Academic Affairs: Faculty evaluates the performance of the academic vice president.

Staff Evaluations

Departmental Supervisors Evaluation of Staff: Departmental supervisors evaluate the performance of all subordinate staff members. These evaluations consider standards for performance that include: Interpersonal skills, knowledge of the position function, personal traits and habits displayed in the workplace, and execution of job tasks.

Administrative Unit Leaders' Evaluation of Departmental Directors: All administrative unit leaders – vice presidents, assistant vice presidents, and executive directors – evaluate the performance of their respective departmental directors.

Staff Evaluation of Supervisors: All support staff, directors, and administrative unit leaders evaluate their immediate supervisor.

Documentation

The original evaluation, development plans and interim reports that have been signed by the employee and the evaluator (Chairman, President, Vice President, or Department Director) are forwarded to Human Resource Office for the employee's official personnel file. A copy of the evaluation should also be maintained in the departmental personnel file.

Document Title: PERSONAL LEAVE
Category: Human Resources – Financial Policies and Benefits
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [4/2010][] [] [] Revision Dates [] Replacement [] Addition

Four hours a month are designated for personal business. These hours are non-accumulative and are taken with prior approval of the supervisor.

Document Title: SICK LEAVE
Category: Human Resources – Financial Policies and Benefits
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [4/2010] [10/2010][] Revision Dates [] Replacement [] Addition

WHO IS COVERED

The sick leave policy shall apply to full-time regular non-exempt and exempt employees of Oakwood University.

HOURS ACCRUED

Sick leave time shall accrue at the rate of 2.93 hours for the 76-hour (two-week) personnel per pay period. Public Safety personnel shall accrue at the rate of 3.08 hours per pay period.

CARRY OVER OF SICK LEAVE

Sick leave may accrue up to a maximum of 1,076 hours.

SICK LEAVE TIME

Eligible employees must be under the care of a physician to access sick leave hours in excess of 76 hours. Sick leave hours may be used to substitute unpaid leave hours in conjunction with the Family and Medical Leave Act (FMLA), also known as Family Leave.

CONVERSION

Sick leave shall not be convertible to paid leave or considered as a credit payable at the termination of employment.

Document Title: VACATION ACCRUAL FOR EMPLOYEES WITHOUT PRIOR
DENOMINATIONAL EXPERIENCE
Category: Human Resources – Financial Policies and Benefits
Number:
Effective Date: May 1, 2000
Authority: VP for Financial Affairs
Document Status: [4/2010][] [] [] Revision Dates [] Replacement [] Addition

PURPOSE

To establish a policy for individuals who have several years of experience outside of denominational employment. This policy is adopted from the NAD Working Policy.

PROCEDURE

Individuals who become denominational employees after several years of experience in a type of work that enhances their ability to function more effectively in their work for the Church may be granted one year of credit toward vacation accrual for each two years of such prior service.

Document Title: VACATION LEAVE
Category: Human Resources – Financial Policies and Benefits
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [4/2010] [] [] [] Revision Dates [] Replacement [] Addition

The University grants regular full-time employees vacation time according to the following policies:

Regular Employees accrue vacation hours based on the following schedule:

1. Employees with one to four years of full-time denominational service receive two weeks of paid vacation.
2. Employees with five to eight years of full-time denominational service receive three weeks of paid vacation.
3. Employees with nine plus years of full-time denominational service receive four weeks of paid vacation.

Vacation time may be earned and accumulated from year to year up to a maximum of four weeks. The maximum number of vacation days that may be carried over from fiscal year to fiscal year is 10 days.

VACATION, SICK LEAVE, AND HOLIDAYS

Because there is some overlapping of timing, the following clarifications are Oakwood University policy:

1. An employee on a scheduled vacation who becomes ill may not charge that time to sick leave unless the employee becomes seriously ill and hospitalized.
2. Persons with illness exceeding the sick leave accruals may use vacation accrued, with permission of the division head.
3. University holidays falling during scheduled vacation or outage due to illness are not charged to vacation or sick leave.

DEFINITION OF VACATION WEEK

A vacation week is five work days, corresponding to the time normally scheduled for work.

VACATION REPORTING AND PROCEDURE

Each University employee subject to this policy shall submit a Vacation Request Form for one week or more. Vacation time taken that is less than one week is not required to be documented on a Vacation Request Form, but must be reported to the department's timekeeper. All requests for vacation and reports of vacation time must be approved by the employee's supervisor, in advance, and documented on the official University form provided for this purpose.

TERMINATION OF EMPLOYMENT

Termination of employment decisions, either by the employee or the University, will include notice as prescribed by the *Notice of Employment* or other University regulations. In these cases, at the discretion and with approval of the administrative division head, the employee may be paid for any time accrued, unused credits or be required to use that time toward meeting notification requirements. In cases where the employee fails to provide notice as required, he/she will forfeit all rights to receive paid compensation for any accrued vacation credits.

Document Title: WORKERS' COMPENSATION
Category: Human Resources – Financial Policies and Benefits
Number:
Effective Date: April 5, 1999
Authority: VP for Financial Affairs
Document Status: [] [] [] [] **Revision Dates** [] **Replacement** [] **Addition**

Eligibility: All University employees are covered by Workers' Compensation Insurance for medical expenses incurred and loss of earning power resulting from injuries sustained in on-the-job accidents.

Injuries Covered: Employees are entitled to benefits if, while carrying out activities for the benefit of their employer, they suffer an injury by accident or an occupational disease. An injury by accident includes a slip, trip, fall, or other fortuitous circumstance that produces an injury. The employee is not required to show an instantaneous occurrence or an external cause or unusual conditions, but injuries that occur gradually, over long periods of time generally are not accidents. For example, if the work-relatedness of a hernia is disputed, the employee must show that the hernia appeared suddenly following an injury and did not exist prior to the accident or incident. To be compensable, the injury must arise out of and in the course of the employment.

Occupational Disease: Generally, an employee is entitled to benefits for disability due to specific occupational diseases where there is a direct causal connection between the condition of the work and the occupational disease, such as when the disease was contracted by the employee due to exposure occasioned by the employment, and the disease can be fairly traced to the employment as the proximate cause.

Cost: All costs of Workers' Compensation Insurance are paid by the University. Since Workers' Compensation benefits cover only a portion of the total salary of an injured employee, the University agrees to make up the difference by charging the difference to the employee's sick leave until sick leave is exhausted. As a result, during the period that the employee receives Workers' Compensation benefits, the amount of the employee's salary is reduced by the actual amount of the Workers' Compensation benefits received. This assures the injured employee that wage continuation is maintained for as long as possible subject to all limitations in the University's Sick Leave policy.

Reporting Injuries: The employee must report any on-the-job accident/injury to his or her supervisor. Failure to report the accident/injury within a reasonable time (not to exceed two days) may subject the employee to non-coverage under Workers' Compensation. The employee's supervisor should complete an investigation of the accident/claim and submit it to the Human Resources Office.

All injured employees should be sent to Health Services even if the injury seems trivial or routine at the time. Serious injuries will be sent directly to the emergency room only if life threatening. If the injury is not life threatening, the employee will be sent to a medical clinic/physician that is participating in the current Workers' Compensation Insurance Plan.

As soon as possible after sending the injured employee to Health Services, an injury report will be sent to the Office of Human Resources. The University must record all accidents on a governmental log and submit data to the insurance carrier to insure proper policy coverage.

If an injured employee elects to go to a private physician for treatment, the accident/injury must still be reported to the supervisor by the employee and the supervisor's report to the Human Resources Office becomes critical to insure proper handling of the benefit for both the University and the employee.

If any questions exist when an employee is injured on the job at the University, the Human Resources Office should be phoned immediately for consultation.

Employer's Obligation to Record and Report Injuries: All work-related injuries requiring medical attention (other than first aid at the workplace) must be reported by the University to its workers= compensation carrier or administrator, who then reports the injury to the Industrial Commission if the injury results in more than one day of lost time from work.

Document Title: Golf Cart Policy
Category: Public Safety (Security)
Number:
Effective Date: February 1, 2012
Authority: VP for Financial Affairs
Document Status: [] [] [] Revision Dates [] Replacement [X] Addition

Purpose

The purpose of this policy is to provide guidelines and regulations to govern the safe operation of all golf carts on the campus of Oakwood University.

Applicability

This policy applies to anyone who operates a golf cart on property owned or controlled by Oakwood University, to include all institution employees, contract workers, visitors, and individuals affiliated with organizations that are leasing or otherwise having an event on institution-owned or controlled property.

General Operations

- A. All golf carts will be operated in a safe manner so as to avoid accidents and injuries.
- B. Golf carts will only be operated by authorized drivers who meet the qualifications as stated in this policy.
- C. Non-employees are prohibited from operating institution-owned golf carts unless authorized and approved by the Vice President for Financial Affairs, or the Director of Public Safety or his/her designee.
- D. Horseplay, reckless conduct, and joyriding are not permitted.
- E. Golf carts are not to be operated for recreational or personal use.
- F. All extremities are to remain inside the confines of the golf carts while golf carts are in motion.
- G. Drivers are not permitted to use cell phones, radios, or headphones while operating golf carts.
- H. Pedestrians always have the right of way on sidewalks and in crosswalks.
- I. Motorized vehicles always have the right of way on roadways.
- J. When driving on roadways, drivers must observe all state and local traffic laws as relates to lane travel, stop signs, etc.
- K. Golf carts are to be driven on roadways as opposed to sidewalks except when access is needed directly with an inner campus building from a roadway.

- L. Golf carts are to be driven only on institution roadways and sidewalks except when it is necessary to drive to Oakwood Memorial Gardens, 4920 University Square, and the West Oaks Apartments, or other campus locations as approved by the Director of Public Safety, his/her designee or the Vice President for Financial Affairs
- M. Vehicles are not to be driven across lawn areas except to respond to an emergency or conduct maintenance in or about the area.
- N. Golf carts are not to be driven through buildings breezeways except for medical and other emergencies.
- O. The number of riders will not exceed the seating capacity of the golf cart.
- P. All institution-owned golf carts must display a department name and number on the front and on both sides.
 - a. If a weather cover is used, the cover must display the department name and number on the front and both sides of the cover, or the department name and number must be visible on the golf cart when the weather cover attached.
 - b. Golf carts that are leased for short term special events are exempt from this requirement.
- Q. All institution-owned golf carts must be registered with the Department of Public Safety.
- R. All golf carts operated between dusk to dawn must be equipped and operated with functioning headlights and taillights, or retrofitted with a visible strobe or pulsating beacon.
 - a. In situations where stealth is required, the Department of Public Safety will be exempt from this requirement.
 - b. All golf carts purchased after the effective date of this policy must be equipped with functioning headlights and taillights.
- S. Drivers are required to use hand and arm signals when making turns while driving on roadways.
- T. Institution-owned golf carts will not be loaned to outside agencies/groups without the permission of the division vice president.

Driver Qualifications

- A. All drivers must have a valid driver's license.
- B. All drivers must be at least 18 years of age or older.
- C. Division vice presidents and/or department directors are responsible for insuring that all drivers receive and are familiar with this policy.
- D. Contractors and organizations external to Oakwood University must provide documentation to the Director of Public Safety that all their personnel have received golf cart operation training

before their personnel will be permitted to operate golf carts on property owned or controlled by Oakwood University.

Parking / Storage

- A. Drivers are to park golf carts away from heavily-traveled pedestrian areas.
- B. Golf carts are to be parked in a manner so as not to block sidewalks, roadways, and building entrances.
 - a. Golf carts will not be parked in fire lanes, reserved parking spaces, and in handicap parking spaces.
- C. Golf carts are to be stored in such a manner as to not impede vehicular and pedestrian traffic, detract from the aesthetic character of the area, and to discourage vandalism and theft.
- D. Golf carts are not to be stored in buildings unless permission has been granted by the respective administrator having primary control or responsibility for the building.
- E. Golf carts are to be parked and stored on level surfaces as opposed to sloping surfaces.
- F. The parking brake is to be employed at all times when a golf cart is parked or being stored.
- G. Ignition keys are not to be left or stored in golf carts.
- H. All items of value are to be removed from golf carts that are stored in unsecure locations.
- I. Equipment, tools, key rings, supplies, confidential documents, and other items that may be of value to a passerby and can be easily taken are not to be left in parked golf carts.
- J. Golf carts that are being stored after the end of a work day, or for an extended period of time, must be secured to prevent theft and parked in an area that provides visibility.

Accidents

The following procedure is to be followed when an accident occurs involving a pedestrian, another vehicle, or a fixed object:

- A. Care is to be immediately given to all injured parties.
- B. Contact is to be made with Public Safety for a response.
- C. When a student is involved, contact is to be made by the supervisor of the driver with the respective residential coordinator or Student Services if the student resides off-campus. A report is to be made by the supervisor of the driver and forwarded to Risk Management by close of business on the day of the accident.

- D. When an employee is involved, the department/division head is to be contacted by the supervisor of the driver. A report is to be made by the supervisor of the driver and forwarded to Risk Management by close of business on the day of the accident.
- E. When an individual external to the University is involved, a report is to be made by the supervisor of the driver and forwarded to Risk Management by the close of business on the day of the accident.
- F. Photographs are to be taken by the supervisor of the accident scene to include the vehicle, property damage, and visible physical injuries. A cell phone can be used to take photographs, if necessary. All photographs are to be forwarded to Risk Management.

Maintenance and Care

- A. When not in use for more than four (4) hours, golf carts are to be connected to a power source for charging purposes.
- B. Golf carts are to be kept washed and cleaned at all times so as to foster a positive institution image – especially after having been driven through mud, grassy areas, dusty conditions, etc.
 - a. Trash is to be removed from golf carts before storing for the day.
 - b. Departments using golf carts are responsible for regular, preventive maintenance (tire tread and pressure; battery water levels and cables; lights; suspensions; steering; seats, etc.).
 - c. Golf carts with mechanical problems that negatively impact safe operation are not to be driven until repairs are made.
 - d. All mechanical problems are to be reported immediately to supervisors.
 - e. Golf carts are to be inspected on a daily basis for mechanical and body defects.
- C. Golf carts are not to be modified in any way that negatively impacts the manufacturer's guidelines for safe operation.