

Clayton State University

Business and Operations

Policies and Procedures

Manual

(Revised February 2022)

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1.0 Introduction to the Manual

Introduction

Clayton State University, as a member institution of the University System of Georgia, operates in compliance with University System of Georgia Accounting Policies and Procedures. In addition, the financial policies and procedures at Clayton State University must follow the guidelines of the Governmental Accounting Standards Board.

This manual has been developed by and for the use of the staff of the Vice President for Business & Operations and for other university personnel who perform various functions of business finance, operations and service.

Topics in this section include:

- Purpose of Manual
- Scope of Manual
- Advantages of Manual
- General Policy
- Recipients
- Policies - Definition
- Procedures - Definition
- Arrangement of Contents

-
- Revisions

1.1 Purpose of the Manual

Clayton State University's Business Operations Policy and Procedures Manual serves several purposes. Primarily, it sets forth the essential policies and procedures that must be followed to meet both Board of Regents mandates and statutory and/or regulatory requirements of the state of Georgia and the federal government. Secondly, it is designed to provide new financial and business professionals the necessary information and tools to perform effectively. Finally, it shall serve as a reference tool for those responsible for budgets as part of the Clayton State community.

The Office of Business & Operations embraces the policy of conforming to all statutory and other official requirements. Concurrent with this policy, the Office, by outlining routine procedures that might otherwise become burdensome and time consuming, is committed to reducing "red tape" and promoting effective business operations in all Divisions, Departments and Schools. The purpose of this Manual, then, is twofold: first, to provide statements of policies and procedures for general guidance in conducting business and finance operations; and second, to provide specific instructions and guidelines for those personnel who are responsible for the preparation of necessary documents, forms, and other materials involved in the fiscal affairs process. Each office, therefore, should keep the Manual readily accessible to all users, particularly to new members of the University family to help them in quickly becoming acquainted with these policies and procedures.

1.2 Scope of Manual

This Manual encompasses all activities of the business and finance functions. It replaces all previous manuals, memoranda and other forms of transmitting policies and procedures.

1.3 Advantages of Manual

Advantages of this Manual include the following:

- A comprehensive, consistent source of university policies and procedures
- Clearly defined authority and distribution of responsibility to eliminate overlaps and gaps
- Minimal need for repeating orders and directives
- Reduction of employee training time
- Better control of the number and variety of forms distributed
- Minimal need for conversation, thereby reducing the chance for misinterpretation
- A guide for appropriate performance evaluation of employees

1.4 General Policy

The Office of the Vice President for Business & Operations is responsible for the publication and distribution of the Clayton State University Business and Operations Policy and Procedures Manual. This Office will ensure that new procedures, manual change notices or other correspondence that establishes, cancels or modifies current policies or procedures will be forwarded to those on the distribution list. Each Department or Unit of the university must notify the Office of the Vice President for Business and Operations of any changes in distribution requirements, including change of address, the addition or deletion of addressees, and change in the number of copies required.

1.5 Recipients

This Manual is intended for all personnel in the Business and Operations Division as well as for each school, department, division, or any other unit personnel who perform functions of, or related to business, operations, and finance. University operating and management responsibilities are also outlined within this Manual. The policies within this Manual guide management responsibilities of the University administration as well as the executive directors, directors and unit heads.

1.6 Policies - Definition

The following statements define and clarify what this Manual terms as "policies":

Policies are broad guidelines for making decisions;

Policies tend to set precedence, thus reducing the repetitive rethinking of all the factors in individual decisions. As a result, time can be saved when decisions are made;

Policies aid in coordination. If several persons are guided by policies, they can more easily and accurately predict the decisions and actions of others;

Policies provide stability within an organization, reducing the frustration of employees; and

Policies encourage decision-making of individuals by giving them a range within which decisions can be made, thus reducing the need for reversal by higher authority.

1.7 Procedures - Definition

The following statements define and clarify what this manual terms "procedures":

Procedures are amplifications of policies;

They describe steps to be taken to accomplish specific jobs within the scope of stated policies; and

They specify the order of job performance, while policies concentrate on basic general approaches. However, in some areas the two may overlap and are not always differentiated.

1.8 Arrangement of Contents

A table of contents provides a list of the subject matter as arranged by sections, to which are assigned numbers. Topics and subjects are identified and located by section numbers. An index lists a detail of subjects included in the manual and gives the section number in which the material on the subject appears.

1.9 Revisions

Policies and procedures can be regularly modified, deleted or added as necessary. The Manual is available electronically and in loose-leaf form to simplify the substitution or insertion of revised or additional pages in a section without affecting other sections. In addition to the printed Manual, the Office of the Vice President for Business & Operations posts the manual on the web and provides electronic copies of the complete Manual to those who have computer facilities to use them.

This Manual is intended to be a daily guide for divisions/departments/units in conducting their business and finance operations. The office encourages users to forward, to the Office of the Vice President for Business & Operations, comments regarding revision and/or additions that would help better to achieve this purpose.

2.0 Business & Operations Organization

Introduction:

This section documents the origin of the University System of Georgia, the creation of Clayton State University, the organizational structure of the university, and complete information about the Business & Operations division of the university

Topics in this section include:

- ❑ Creation of the Board of Regents of the USG
- ❑ Charter of the Board of Regents
- ❑ Official Name of the Board of Regents
- ❑ Constitutional Provisions
- ❑ Powers of the Board of Regents
- ❑ The University
- ❑ Accreditation of the University
- ❑ Organization of the University
- ❑ Vice President for Business & Operations
- ❑ Mission of Business & Operations
- ❑ Responsibilities of Business & Operations
- ❑ Assignments of Responsibilities and Function

2.1 Creation of the Board of Regents of the University System of Georgia

By an Act signed by Governor Richard B. Russell to be effective on January 1, 1932, the General Assembly established the Board of Regents of the University System of Georgia with responsibility for "the government, control, and management" of state supported colleges and universities. The Board of Regents became a Constitutional Board when this plan for the governance of higher education was incorporated into the Constitution of Georgia in 1943.

The Board of Regents executes its Constitutional responsibilities in two primary ways:

By adopting policies to provide general guidelines for governing the University System; and

Presidents of the institutions are given responsibility and authority for administration of the System in accord with the adopted policies by the Chancellor of the System and under his direction.

2.2 Charter of the Board of Regents

The charter of the Board of Regents consists of the original charter of the Trustees of the University of Georgia as approved in the Act of the General Assembly of the State of Georgia on January 27, 1785, and modified by a subsequent Act of the General Assembly in 1931 as follows:

Be it further enacted by the Authority aforesaid, that there is hereby set up and constituted a department of the State Government of Georgia, to be known as the 'Board of Regents of the University System of Georgia.' The name of the corporation heretofore established and existing under the name and style, 'Trustees of the University of Georgia' be and the same is hereby changed to 'Regents of the University System of Georgia.' (Article 20-31, Acts 1931)

2.3 Official Name of the Board of Regents

The official name of the Board of Regents under its Constitutional charter is "Board of Regents of the University System of Georgia."

2.4 Constitutional Provisions

The Constitution of the State of Georgia makes the following provisions regarding the Board of Regents of the University System of Georgia:

There shall be a Board of Regents of the University System of Georgia which shall consist of one member from each congressional district in the state and five additional members from the state at large, appointed by the Governor and confirmed by the Senate. The Governor shall not be a member of said Board. The members in office on June 30, 1983, shall serve out the remainder of their respective terms. As each term of office expires, the Governor shall appoint a successor as herein provided. All such terms of members shall be for seven years. Members shall serve until their successors are appointed and qualified. In the event of a vacancy on the Board by death, resignation, removal, or any reason other than the expiration of a member's term, the Governor shall fill such vacancy; and the person so appointed shall serve until confirmed by the Senate and, upon confirmation, shall serve for the unexpired term of office.

The Board of Regents shall have the exclusive authority to create new public colleges, junior colleges, and universities in the State of Georgia, subject to approval by majority vote in the House of Representatives and the Senate. Such votes shall not be required to change the status of a college, institution or university existing on the effective date of this Constitution. The government, control, and management of the University System of Georgia and all of the institutions in said system shall be vested in the Board of Regents of the University System of Georgia.

All appropriations made for any or all institutions in the University System shall be paid to the Board of Regents in a lump sum, with the power and authority in said board to allocate and distribute the same among the institutions under its control in such way and manner and in such amounts as will further an efficient and economical administration of the University System.

The Board of Regents may hold, purchase, lease, sell, convey, or otherwise dispose of public property, execute conveyances thereon, and use the proceeds arising from that; may exercise the power of eminent domain in the manner provided by law; and shall have such other powers and duties as provided by law.

The Board of Regents may accept bequests, donations, grants, and transfers of land, buildings, and other property for the University System of Georgia.

The qualifications, compensation, and removal from office of the members of the Board of Regents shall be as provided by law." (Constitution of Georgia 1982, Article VIII, Section IV)

2.5 Powers of the Board of Regents

The Official Code of Georgia provides the following powers to the Board of Regents:

The Board of Regents shall have power: (1) to make such reasonable rules and regulations as are necessary for the performance of its duties; (2) to elect or appoint professors, educators, stewards, or any other officers necessary for all of the schools in the University System, as may be authorized by the General Assembly, to discontinue or remove them as the good of the System or any of its schools or institutions may require, and to fix their compensations; (3) to establish all such schools of learning or art as may be useful to the State, and to organize the same in the way most likely to attain the ends desired; (4) to exercise any power usually granted to such corporation, necessary to its usefulness, which is not in conflict with the Constitution and laws of this State." (Acts 1931, pp. 7, 24)

The Board of Regents shall have such other and further powers and duties as may now or hereafter be provided by law or the State Constitution.

2.6 The University

Clayton State University is a unit in the University System of Georgia.

Clayton State University opened in 1969 as Clayton Junior College. The Board of Regents of the University System of Georgia elevated the institution to baccalaureate status (as Clayton State College) in 1986, to university status (as Clayton College & State University) in 1996 and approved the present name on May 18, 2005.

The beginning of the university can be traced to 1965 when the Board of Regents authorized three new junior colleges for the University System, one of which was designated for south metropolitan Atlanta. The Board considered several locations in the region, and chose the present site in Clayton County because of the unique combination of natural beauty and easy access to the then recently-completed Interstate 75. The citizens of Clayton County subsidized the initial construction of the state institution by passing a bond issue for nearly \$5 million. Construction of the new campus began in fall 1968, and the doors opened on September 30, 1969.

2.7 Accreditation of the University

“Clayton State University is accredited by the Commission of Colleges of the Southern Association of Colleges and Schools, (1866 Southern Lane, Decatur Georgia 30033-4097): Telephone number (404) 679-4501 to award the Bachelor’s, Master’s and Education Specialist degrees.”

“Clayton State University is also accredited by the National Council for Accreditation of Teacher Education, the Georgia Department of Education, the Association of Collegiate Business Schools and Programs, the National Business School and Programs, the National League of Nursing and approved by the Georgia Board of Nursing.”

“Individual colleges and departments also hold membership in the regional and national professional organizations associated with their respective disciplines.”

2.8 Organization of the University

The university organizational charts may be found on its website located at www.Clayton.edu

2.9 Vice President for Business & Operations

The Vice President for Business & Operations reports to the President and acts as an agent of the Treasurer of the Board of Regents in all financial matters. The

Vice President for Business & Operations, who is responsible for the fiscal affairs administration of the university, has custody of all funds, securities, and assets of the university.

The division is responsible for the university’s financial, human and physical resources. Six areas work within Business & Operations:

- Auxiliary Services
- Budget & Finance
- Facilities Management
- Human Resources

- Operation Services
- Public Safety

These offices provide a multitude of services to the campus community ranging from public safety, employee relations, payroll, student accounts, employee benefits, parking services, the bookstore, food services, campus maintenance and landscaping, budgeting and reporting, environmental safety, architecture and space planning.

The Division has a fiduciary responsibility to protect the interests of the university and to operate with the highest levels of professionalism and integrity.

2.10 Mission of Business & Operations

The mission of this division is to provide the best possible customer service and support to the students, faculty and staff of the university by ensuring that the university's support services function effectively, efficiently and, most importantly, ethically.

2.11 Responsibilities of Business & Operations

The primary responsibilities of the Office of Business & Operations are to provide leadership, manage the operations and fiscal affairs of the university and keep the President and the Board of Regents staff informed of the university's financial condition.

Besides providing leadership, the Office must:

- Develop and recommend broad policies
- Ensure that strategic and operational plans are developed and articulated
- Create operating systems for business functions
- Select, train, manage and develop personnel to carry out these functions effectively
- Design and carry out appropriate evaluation procedures

2.12 Assignments of Responsibilities and Functions

Three Assistant Vice Presidents, the Director of Human Resources, and the Chief of Police report directly to the Vice President of Business & Operations. The Vice President for Business & Operations provides the necessary leadership to the overall area in order to maintain good stewardship of the financial and physical resources that support the university's growth and development along with the safety of our students and staff.

The Assistant Vice President/Controller reports directly to the Vice President of Business & Operations and is responsible for Procurement Services, Payroll, Student Accounts/Bursar, Budget, Accounts Payable and General Accounting and Reporting. The AVP performs other duties as assigned by the Vice President for Business & Operations.

The Assistant Vice President of Auxiliary Services reports to the Vice President for Business & Operations and is responsible for the Campus Bookstore (Loch Shop), Contract Vending Services, Student ID Carding, and Contract Food Services, including those for housing. The AVP performs other duties as assigned by the Vice President for Business & Operations.

The Assistant Vice President of Facilities reports directly to the Vice President of Business & Operations and is responsible for all physical facilities and equipment of the university, including inventory control, environmental safety, landscaping, mail room and construction projects. The AVP performs other duties as assigned by the Vice President for Business & Operations.

The Director of Human Resources reports directly to the Vice President of Business & Operations and assists in the recruitment and retention of personnel, administers the fringe benefits programs of the university, administers the wage and salary program of the university, provides employees with financial, retirement, and benefits and performs other duties as assigned by the Vice President for Business & Operations.

The Chief of Police of the university reports directly to the Vice President of Business & Operations and is responsible for campus security, crime awareness and prevention measures, traffic control, and parking. The Chief performs other duties as assigned by the Vice President for Business & Operations.

3.0 Accountability and the Accounting System

Introduction:

Clayton State University, as one of thirty-one (31) state supported member institutions of higher education in Georgia, is required to use PeopleSoft Financials for the accounting of Accounts Payables, Asset Management, Budgets, Purchasing and all General Ledger activity. This section provides information about manuals that must be followed, policies and procedures affecting the accounting system, and general policies for the accounting system.

Topics in this section include:

- Manuals
- Other Authoritative Documents
- General Policies for the Accounting System

3.1 Manuals

To insure consistency throughout the university system, the Board of Regents has published the following manuals for use by institutions. This Clayton State University manual is considered a further interpretation of the Board of Regents manuals.

Business Procedures Manual (BPM) of the University System of Georgia which sets forth essential procedural components USG institutions must follow to meet Board of Regents policy mandates and the statutory or regulatory requirements of the state of Georgia and the federal government. The manual is available from the following website: http://www.usg.edu/business_procedures_manual/.

GeorgiaFirst Financials, University System of Georgia. All documentation for the GeorgiaFirst Financials is available from the following website: <http://www.usg.edu/gafirst-fin/>. A password is required to download documentation. The password may be obtained from the CSU Controller.

The policies and procedures of these manuals are incorporated into and become a part of this Manual. Because these manuals by their nature apply only to the Accounting Services personnel, their contents are made a part of this manual by reference, not by reproduction.

3.2 Other Authoritative Documents

The GeorgiaFirst Financials System, an implementation of PeopleSoft Financials, as it is currently formulated, developed and operated is the result of many contributing documents, publications, and other factors. Among them are the following:

- Laws and statutes of the State of Georgia
- Policies, procedures, regulations, directives, memoranda, manuals etc. of the Board of Regents, University System of Georgia
- Federal agency regulations and requirements
- College and University Business Administration, 1982 and The Business and Finance Services Manual of the National Association of College and University Business Officers
- Higher Education Finance Manual, a project of the Department of Education, Department of Health and Human Services and NCHEMS (National Center for Higher Education Management Systems)
- Audits of Colleges and Universities, the AICPA (American Institute of Certified Public Accountants) industry audit guide

- The Government Accounting Standards Board (GASB) Statement No. 34, Basic Financial Statement and Management’s Discussion and Analysis for State and Local Government
- The Government Accounting Standards Board (GASB) Statement No. 35, Basic Financial Statement and Management’s Discussion and Analysis for Public Colleges and Universities

Personnel of the Accounting Services Department must be familiar with the requirements of all authoritative literature concerning Fund Accounting and Reporting.

3.3 General Policies for the Accounting System

3.3.1 Scope of the System

With the constantly increasing requirements and needs for fiscal, financial, and other management information, and the increased need and demand for accountability in the public sector, the complexity of Fiscal Affairs operations in colleges and universities equals or exceeds that of large business or industrial enterprises. The PeopleSoft Financials (P/S) System of the University System of Georgia, as operated and used by and for Clayton State University, is the vehicle through which all fiscal affairs (Budget and Finance) transactions are organized, classified, recorded, processed, reported and managed. It is a system capable of responding to changing conditions and shifting requirements, the implementation of which will be limited by the skills of its available operating personnel and the versatility of data processing equipment, both hardware and software.

3.3.2 Basis of Accounting

For financial reporting purposes, Clayton State University is considered a special-purpose government engaged only in business-type activities. Accordingly, the University’s financial statements are presented using the economic resources measurement focus and the accrual basis of accounting. Under the accrual basis, revenues are recognized when earned, and expenses are recorded when an obligation has been incurred. All significant intra-university/college transactions will be eliminated.

3.3.3 Salaries and Wages

Salaries and Wages earned in one fiscal year must be expended and reported for that fiscal year. If earned in one fiscal year and paid in the following fiscal year, they must be reported as accrued payrolls.

3.3.4 Contractual Services and Materials

Contractual services performed and invoiced, and materials received and invoiced, for which payment has not been made at the balance sheet date, are reported as accounts payable.

3.3.5 Receipts

Receipts collected before the end of the fiscal year that are payment for services in the next fiscal year, such as fees for use of facilities and student advance payments, are reported as deferred revenues.

3.3.6 Inventories

Consumable supplies are carried at the lower of cost or market on the first-in, first-out (“FIFO”) basis of accounting.

3.3.7 Summer School

When the beginning and ending dates of a summer school session are in two fiscal years, revenues and expenditures are split and reported when earned and/or incurred. The revenues include tuition, mandatory fees and course fees. Salary dollars are posted in the month in which they were earned by employees.

3.3.8 Responsibilities of the Accounting Services Department

The Controller serves as the university's financial and accounting officer reporting to the Vice President for Business & Operations and, in this position, is responsible for providing financial leadership and direction in the performance of all financial functions of Clayton State University. Specific duties and responsibilities assigned to the Office of Budget and Finance include the following:

- Financial policy development
- Financial controls
- Financial analysis

- Financial reporting
- Financial agreements
- Receipt and custody of funds
- Payments for goods and services
- Payrolls
- Cashiering
- Student billings
- Cash management
- Training of Accounting Services staff
- General accounting operations
- Auditor liaison

The Controller is also responsible for ensuring that all accounting functions, systems, etc. are in full compliance with the authoritative literature cited above. He/she is responsible for the review of the university's chart of accounts to ensure that each complies with this authoritative literature and, in particular, the Board of Regents Business Procedures Manual.

A monthly review will be conducted by Budget & Finance staff and reviewed by the Director of Accounting Services and/or the Controller and documentation to such will be placed on the z drive (CSU network data storage) so that it is available for review by the Vice President of Business & Operations and others. (SAS112 documentation) The documentation/review must ascertain the status of each university account, including the determination that all accounts are properly classified, current and in compliance with "industry" standards cited above. Any accounts not in full compliance must be adjusted immediately and those accounts that are no longer in use and/or that have unused balances will be closed and the balances disposed of appropriately.

Any deviations from these established "industry" standards must be reported to the Vice President of Business and Operations and to the staff of the Board of Regents, if applicable.

3.3.9 PeopleSoft Financials (P/S) System Structure and Codes

The P/S (PeopleSoft Financials System) is based upon the fundamental college and university accounting principles that all funds have a source and a use--in other words, fund accounting as compared with profit and loss accounting in commercial and industrial enterprises. This system requires individual stewardship for the financial resources received and the manner in which they are expended. Stewardship is accomplished by separate identification for each entity. Individual

entities (projects) with similar characteristics are placed in a fund group, each entity within a fund group having its own set of assets, liabilities and fund balance.

The P/S accounting system uses a chart string ~~from~~ for recording transactions that consists of a six-digit account number, a five-digit Fund Number, a seven-digit Department ID, a five-digit Program Code, a five-digit Class Code, and sometimes a Project/Grant code whose length varies.

Users are referred to the Board of Regents Business Procedures Manual Section 1 for Accounting Principles and Definition and Section 2 for a detailed description and explanation of the chart of accounts.

3.3.10 Basic Financial Reports and Statements

Through the P/S system the Accounting Services Department can generate various financial reports and statements for use by appropriate administrators to use in planning and analysis.

The basic, standard reports used are as follows:

- Budget Progress Report by department
- Trial Balance Report,
- Revenue Ledger Report

All departments of the university have the authority to run their own reports out of PeopleSoft (Expenditures Report, Comparison of Budget to Actual Expenditures, and the like).

3.3.11 University Bank Accounts

The president of each USG institution shall determine the bank or banks where funds are deposited through a best value competitive contract bid process to be undertaken every five (5) years (BOR Minutes, April 2005). The president shall inform the USG chief fiscal officer of the bank or banks where funds are deposited. It shall be the duty of the Treasurer of the Board to handle all details relative to the bank or banks furnishing the required depository protection (BOR Minutes, 1949-50, p. 251; February 1996).

The USG chief fiscal officer shall appoint a person or persons at each USG institution with authority to sign checks drawn on banks where funds of the respective institutions are deposited. Persons so appointed shall be authorized to sign any documents that may be required by the banks concerned (BOR Minutes, 1952-53, p. 365).

4.0 Accounts Payable

Introduction:

In accordance with state law, payment will not be remitted prior to receipt of materials, goods, or supplies except when it is mandatory or approved by the Purchasing Office that payment accompanies the order.

Payments issued by Clayton State University are accomplished through direct deposit to employee or student accounts, additions to student payment cards, by wire transfers, or by check.

Topics in this section include:

- Payment Processing
- Approval Authorization
- Prohibited or Restricted Purchases/Payments
- Types of Payments
- Prompt Payment Responsibilities
- Processing Credit Memo's, Refund Checks, and Void Checks
- Unclaimed Property

4.1 Payment Processing

In accordance with state law, payment will not be remitted prior to receipt of materials, goods, or supplies except when it is mandatory or approved by the Purchasing Office that payment accompanies the order. Payment for services should not be paid prior to receipt of the services, except that ordinary and customary services (maintenance contracts) may be prepaid.

Payments issued by Clayton State University are accomplished through direct deposit to employee or student accounts, additions to Student payment cards, by wire transfers, or by check.

For all payments by check, Clayton State University uses the “positive pay” services of the banking institution. Positive pay ensures that CSU does not suffer loss of funds due to fraudulent checks. After physically preparing checks at CSU, an electronic file is sent to the bank providing authorization to pay by check number and amount. Checks presented to the bank for payment that do not exactly match the check number and amount will not be honored.

Submission of the electronic “positive pay” file to the bank does cause a small processing delay in the preparation of the checks. Generally, checks issued during a work day will have the positive pay file available to the banking institution overnight, and will be available for payment on the following banking day. For extenuating circumstances, an on-line positive pay file may be generated for one check.

4.2 Approval Authorization

Where the purchase of goods or services is involved, the department budget manager has primary responsibility for approval of all expenditures charged against accounts under his/her administration. The department budget manager must verify the following prior to approval of payment:

- Receipt of goods or services
- Purchase is appropriate for fund source
- Purchase matches order including item descriptions, quantities, and unit prices
- Sufficient funds for payment are available in the account regardless of fund source.
- Purchases are allowable under state and federal guidelines

Since the requisition (and/or purchase order), the vendor's invoice, and the receiving report are matched in the Accounting Services Department, the department budget manager is responsible for promptly notifying the Accounting Services Department of any problems on the order immediately after receipt of goods and/or services. Upon notification, Accounting Services will withhold payment from the vendor until the problems are resolved.

4.3 Prohibited or Restricted Purchases / Payments

4.3.1 Overview

In general, university funds may be used to purchase items related to the missions of instruction, research, and public service. Specific rulings have been made on various items and the legality of such purchases. The remainder of this section will address these specific rulings. Sponsored funds follow the same rules as state funds unless the grant indicates a particular expense is allowed.

While the CSU Accounting Services Department does not have responsibility for reviewing purchases (except where noted), the office may request review by the procurement authority if the purchase appears questionable.

4.3.2 Purchases for Personal Use

It is unlawful for CSU to make purchases for the personal use of its employees (Acts of 1939 40-1936). While it is difficult to define specifically all such goods and services, the following list includes examples of items which have been denied (by State Purchasing Division, other state agencies, and CSU) for purchase in the past using state funds, on the grounds that the apparent end-use is personal in nature:

- Christmas decorations and cards
- Cut flowers / plants
- Entertainment, alcoholic beverages and/or refreshments
- Table radios
- Watches, groundbreaking shovels and other items to be granted as a donation or gratuity in favor of a person, corporation or association
- Dues to a Chamber of Commerce
- Employment agency placement fees
- Clothing, such as tuxedos, used for commencement services or other personal use
- Airline club memberships

- Gifts
- Bottled water - There are justifiable reasons, however, that would allow the purchase of bottled water. Examples include: use in laboratories, non-potable water, etc. Business Services is responsible for verifying that it is purchased properly and requests that departments make a note on the orders indicating the justification.

4.3.3 Purchases by Employees

The Board of Regents Policy Manual, section 7.7.2 states the following:

Employee Purchasing: Absent a specific and approved exemption, employees of the University System shall not purchase goods or services for personal use through channels used in the purchase of goods and services for the operation of the University System.

This means that an employee cannot use the University System's buying power (discounts) for personal purchases.

4.3.4 Memberships and Membership Allowances

Memberships in the Name of the University

The university may pay institutional memberships and dues in professional associations provided that they are in the name of the university. Departments are responsible for making sure the institution is not already a member of the organization before authorizing a purchase request.

Chamber of Commerce membership dues are not payable from State funds under any circumstances, since it does not qualify as necessary for the operation of an institution according to the Attorney General (Section 19.3 of the Board of Regents BPM)

Memberships in the Name of an Individual

Memberships in the name of an individual cannot be paid or reimbursed from any fund source unless one of the following circumstances applies:

- Job Requirement: the membership is necessary to fulfill the requirements of a job. A letter of justification detailing the necessity of the membership must accompany any purchase request.
- Purchase of Journals at a Reduced Rate: The sole purpose of the membership is to purchase professional journals at a reduced rate that are not available through the University Library. The membership must include the cost of the journal and be less than the amount that would be paid if the journal was purchased without

membership. These journals become the property of the university rather than the individual in whose name the membership is made. The journals must pertain to the mission of the department from which payment is made. A letter of justification providing details to show the cost advantage of purchasing the membership must be provided.

4.3.5 Subscriptions

Subscriptions may be authorized by department budget managers via purchase request when all of the following conditions are met:

- The institution is not already a subscriber or member of an organization
- The subscription is not available through the University Library
- The subscription is of a public nature and a tangible benefit accrues to the institution by virtue of the payment

A letter of justification should accompany the purchase request. The Board of Regents has recommended that departments establish limits on the number of subscriptions that will be allowed per employee.

4.3.6 Licenses

- If a license or certification is required to meet the minimum job requirements, then the employee must pay for the license or certification
- If having the license or certification is not a minimum job requirement, the department prefers the employee have it, and the department/institution receives a tangible benefit in paying for the license, then CSU can purchase with a letter of justification from the department budget manager

4.3.7 Printing for Charitable Campaign

In September 1992, the Chancellor's Office of the Board of Regents made a ruling to allow the printing of charitable campaign material from state funds. The reasoning was that the alternative (time and efforts of Presidents, VPs, etc. to prepare memorandums, etc.) was more expensive to the state.

4.4 Types of Payments

Payments processed by the Accounting Services Department for goods and services may generally be classified as follows:

4.4.1 Purchasing Card

The purchasing card is the preferred method of payment for materials, supplies and services equal to or less than \$4,999.99. A complete discussion of the Purchasing Card is contained in section 14 of this manual.

4.4.2 Invoices Received on Orders Generated via Purchase Request

These are orders where goods or services were ordered, received, and then billed by vendor. The order will have been placed by the CSU Procurement Services Department, directly by a department under delegated authority, or directly by a department under exemption from Purchasing Department review and approval. The payment will be automatically processed by Accounting Services when the following items have been received and matched to verify quantities/prices/etc.:

- Evidence of Order (Purchase Order Copy, evidence of delegated authority or evidence of exemption from Purchasing Department)
- Vendor's Invoice
- Receiving Report indicating receipt of goods/services

Note: Vendors have been instructed to mail all invoices to the Accounting Services Department. If an invoice is received by a department, it should be promptly forwarded to the Accounting Services Department.

4.4.3 Prepayments

If the terms of the purchase require prepayment, the prepayment requirement should be clearly annotated on the **Purchase Request** form. Upon approval, the CSU Procurement Services Department will coordinate the prepayment with Accounting Services.

Examples of customary prepayments

- Subscriptions
- Registrations
- Annual maintenance agreements
- Postage/Mail Accounts
- Deposits on Rental/Leases
- Annual Computer Internet Access Contracts
- Licensed Software and Upgrades
- Institutional Memberships

Non-customary prepayments must be approved by the CSU Procurement Services Department.

4.4.4 Reimbursements

- *Travel Reimbursements*

When employees travel they are reimbursed for travel expenses using a **Travel Expense Statement**. The **Travel Expense Statement** is discussed in section 4 of this manual.

- *Travel Reimbursements for Non-Employees*

Non-employees may be reimbursed for travel expenses via the **Travel Expense Statement for Non-Employees** as discussed in Section 15 of this manual.

- *Emergency Purchases*

When employees purchase supplies and materials directly, they are reimbursed via petty cash. The normal petty cash limit is \$50.00. Note that sales taxes should not be paid, and will not be reimbursed. Additional information about the use of petty cash and sales tax exemptions may be found in section 8 of this manual. Departments needing to make emergency purchases over \$50 must coordinate these requests through the Procurement Services department.

4.4.5 Refunds

When revenues collected must be returned to the payor, a memorandum must be sent to the Accounting Services Department requesting the refund. The request should have proof of original receipt attached, justification for the refund, and all required information needed to prepare the refund. The Accounting Services Department will issue a refund check to the original payor.

4.4.6 Wire Transfers

Wire transfers may be used in lieu of a check to process payments to vendors upon request or special need. Departments ordering goods or services that must be paid by wire transfer should coordinate with the Accounting Services prior to the placement of the order. The Accounting Services Department requires receipt of all documentation a minimum of three business days prior to the transfer date. The banking fee for the wire transfer will be charged to the originating department. Required documentation includes a memo requesting the wire transfer, amount of payment, account number to be charged, banking information (routing and account number of vendor being paid), and authorization for payment (invoice).

Wire transfers to international accounts require the same documentation, but also require:

- Receipt of all documentation a minimum of seven business days prior to the transfer date
- Accounting Services Approval

4.4.7 Payments in Foreign Currency

Foreign vendors may request payment in their country's currency. Contact the Accounting Services Department for assistance, and allow an additional ten business days for processing.

4.4.8 Other Non-Payroll Disbursements

A memorandum is utilized to initiate a request for payment for many instances where a payment is made from CSU for non-payroll disbursements.

Some of these types of payments are:

- Requesting a disbursement from an Agency Fund
- With VP approval via memorandum to Accounting Services Department, cash advances for:
 - Athletic Team Travel
 - International Student Travel
 - Other Student Travel

- With the President's approval via memorandum to Accounting Services Department, cash advances for all other instances not covered above

4.5 Prompt Payment Responsibilities

4.5.1 Governor's Executive Order - Prompt Payment of Invoices

CSU is mandated by Executive Order of the Governor of the State of Georgia to pay invoices within 30 days from the latter of:

- Invoice date
- Date the invoice is received by CSU
- Date goods and/or services are received by CSU

4.5.2 Departmental Approval

Normally, the paperwork matching process occurs in the Accounting Services Department for normal orders, and requires no involvement from the departments. However, in the event of a problem with an order that may not be revealed in the receiving report, it is imperative that the department provide prompt notification to the Accounting Services Department describing the problem.

4.5.3 Payment Request Processing Schedule

The CSU Accounting Services Department is responsible for completing payment requests within ten calendar days. While ten days is not generally required to process the payment, it may be necessary in the instance that additional processing is required. Therefore, departments should submit requests in time to allow 10 days for processing. If the CSU Accounting Services Department cannot process the payment due to missing or incorrect information, the Accounting Services Department is responsible for alerting the department within ten calendar days. The department will be informed of the problem and provided with instructions regarding what is needed to complete the transaction.

4.6 Processing Credit Memo's, Refund Checks, and Void Checks

4.6.1 Credit Memo Instructions

Vendors issue credit memos for returned goods as well as pricing discrepancies. If a credit memo is anticipated, the department should provide prompt notification to the Accounting Services Department to hold the original invoice until the corresponding credit memo is received. In the event an invoice has been paid, and the department does not anticipate additional business with this vendor, the Accounting Services Department will request a refund from the vendor. Departments should maintain close coordination with the Accounting Services Department regarding credit memos, especially when dealing with a vendor that will not provide refunds.

4.6.2 Refund Check Instructions

If a department receives a refund check from a vendor, the department number and account number must be referenced on the check stub and submitted to the Accounting Services Department. The Accounting Services Department will apply the refund to the appropriate account and deposit it into the university's bank account. Refunds will be credited to the budget period of origin.

4.6.3 Void Check Request

Due to various situations, payees occasionally never receive or lose checks issued to them. Upon written (memo or email) notification from the payee, the department should then request the Accounting Services Department void and reissue the check. Upon receipt of the departmental memo, the Accounting Services Department will (1) verify that the check has not cleared the bank, (2) stop payment on the original check, and (3) provide a replacement check. The check reissue will require seven to ten business days from the receipt of the departmental request.

4.7 Unclaimed Property

The laws of the State of Georgia regarding unclaimed property are contained in the Official Code of Georgia Annotated (O.C.G.A.) Sections 44-12-190 through 44-12-235.

Basically, any property that has remained unclaimed by the owner for more than one (1) year for payroll checks or five (5) years for other checks is presumed abandoned. For CSU, abandoned property may include, but is not limited to:

- Outstanding payroll checks
- Outstanding accounts payable checks
- Unclaimed deposits

- Unclaimed student refunds
- Unclaimed credit balances on accounts receivable

“Unpaid wages,” including “unpresented payroll checks” are presumed abandoned after they are at least one (1) year old as of the last day of the fiscal year, June 30th. Outstanding accounts payable checks are considered abandoned (by law) when they are at least five (5) years old as of the last day of the fiscal year, June 30th. (Note: CSU treats all unclaimed property as abandoned after one year. See further explanation below.)

After a property becomes “abandoned,” it must be reported and remitted to the State of Georgia Commissioner of Revenue.

The Board of Regents Business Procedures Manual, section 19, provides steps that must be taken to contact the owner of the abandoned property. If the property remains unclaimed after CSU has exercised due diligence in trying to contact the owner, then it must be reported and remitted to the Commissioner of Revenue at the end of either the one (1) or five (5) year period as appropriate. The report and remittance to the Commissioner of Revenue must be filed during the month of November of each year, and is filed as of the preceding June 30th.

After the report and remittance is sent to the Commissioner of Revenue, any claims for recovery of the property must be made to the Georgia Department of Revenue.

The process utilized at CSU is to stop payment on all uncleared checks that are more than 180 days old. After the stop payment is accomplished, the unclaimed funds are moved to the unclaimed property account in the institution’s accounting records. Establishment of communications between CSU and the payee will be attempted. If communication is successful, then the check is reissued and provided to the payee. If CSU is unable to contact the payee, then the unclaimed property is handled in accordance with Board of Regents procedures and state law.

5.0 Administrative Computing/Fiscal Affairs Data Systems Reserved

6.0 Auxiliary Services

Introduction

By definition in the Board of Regents Business Procedures Manual, an auxiliary enterprise is defined as an activity that exists to provide a service directly or indirectly to students, faculty or staff, and for which a fee is charged that is related to, but not necessarily equal to, the cost of the service. Auxiliary Enterprises are operated on a self-supporting basis, where the combination of fees and other revenues is sufficient to meet costs. Auxiliary Enterprises are not subsidized by state appropriations or other educational and general revenues.

At Clayton State University, the following auxiliary services are part of the Business and Operations organization:

- Bookstore
- ID Card Services (LakerCard)
- Dining Services
- SmartPrint Services
- Vending Services

Topics in this section include:

- ❑ Overview and Management Structure
- ❑ Mission of Auxiliary Services
- ❑ Bookstore Operations
- ❑ The LakerCard
- ❑ Dining Services
- ❑ SmartPrint Services
- ❑ Vending Services

6.1 Overview and Management Structure

Auxiliary Services at Clayton State University are operated under the authority of the Vice President for Business & Operations. The management structure includes an Assistant Vice President – Auxiliary & Administrative Services, one Director, and one Manager.

6.2 Mission of Auxiliary Services

The mission of Auxiliary Services is to provide the campus community with a variety of retail and campus services in a friendly, convenient, and efficient manner that enhances the overall educational experience of our students and work experience of our faculty and staff.

6.3 Bookstore Operations

Bookstore operations at Clayton State are contracted to Barnes & Noble College (BNC). The Clayton State University Bookstore is named “The Loch Shop”. The Loch Shop provides:

- Textbook Sales and Rentals
- Course Materials
- Supplies and Snacks
- Clayton State Logo Merchandise

BNC also manages a convenience store/spirit shop named Loch’s Nest (The Nest). The Nest is located on Main Street in the Baker University Center and has extended weekday hours to better serve evening students. Loch’s Nest provides:

- CSU Logo Merchandise
- Convenience items such as Scantrons and Blue Books
- Snacks and Beverages

6.3.1 Online Store

The online store, also managed by BNC, allows a student to purchase textbooks, course materials, and Clayton State logo merchandise online and have the purchases shipped to any desired location. Online purchases must be paid by credit card or by Financial Aid Book funds (also known as Bookstore Bucks). The online store website has additional pages for general merchandise and for books. The site also provides general quotes regarding the value of used textbooks for the book buyback program.

6.3.2 Financial Aid Book Money

Financial Aid Book Money, also known as Bookstore Bucks, allows a student receiving Financial Aid to buy required course materials and supplies using funds remaining after Financial Aid has been applied to cover mandatory registration fees.

Students must pre-authorize the transfer of Book Money via The DUCK. Bookstore Bucks are available to the student if, after payment of tuition and fees, the student has unused Financial Aid remaining in the student's account. Up to \$1,000 of unused Financial Aid will be transferred to the student's LakerCard for use in the Loch Shop and the Loch Shop's online store for the purchase of textbooks, required course materials, and other items necessary for the completion of course work. Clayton State University logo items, book bags, and other items may also be purchased with Bookstore Bucks.

Bookstore Bucks are available on the LakerCard only during certain dates at the beginning of each semester. See the information on the web site at <https://www.clayton.edu/aux-services/the-loch-shop/bookstore-bucks> for additional information and dates of availability.

Bookstore Bucks are not available for purchases in Dining Services or other locations on campus. It should also be noted that some third-party Financial Aid Accounts have special limits on spending.

6.3.3 Graduation Services

The Loch Shop provides typical services for Graduation Exercises. Graduating students may order university rings, announcements, and Caps and Gowns.

6.4 The LakerCard

Auxiliary Services operates the LakerCard program. The LakerCard is a multipurpose identification and campus debit card. The card bears a student's name, student identification number, photograph, Library number, and magnetic stripe.

The LakerCard is the official ID card for Clayton State. In addition to identification, it also provides access to:

- LakerBucks
- Financial Aid Book Money (Bookstore Bucks)
- The Library
- Meal Plans and Dining Dollars

- Laker Hall and your suite (Laker Hall residents only)
- Laker Village suites, Phase 1 (Laker Village residents only)
- Fitness Center
- SAC Game Room
- Check-in at The HUB
- Other services around campus

The LakerCard Center is located on the first floor of the Baker University Center, adjacent to the Lakeside Dining Hall. New students may have their LakerCard made during their scheduled orientation session. The student must present a government issued form of photo identification, such as a driver's license, to have a LakerCard made. CSU employees can obtain a LakerCard as part of new employee orientation or after orientation. Employees must also present a government issued form of photo identification.

Students and employees may also submit their own LakerCard photo and a government issued id online using Photo Upload. Complete details about requirements and the submission process are available at: <https://www.clayton.edu/aux-services/laker-card/photo-upload>. Cardholders can choose to pick up their card in the LakerCard Center or have it mailed to their home.

6.4.1 LakerBucks

LakerBucks

The LakerBucks Account is an optional account of pre-deposited funds accessed by the cardholder for products and services on campus. Cash withdrawals from the LakerBucks account are not allowed at any time, except upon withdrawal from the university or upon graduation. There are several options for making deposits to the LakerBucks account:

With LakerCard Online

You can make deposits to your LakerBucks account 24 hours a day by credit or debit card using LakerCard Online. Other people, such as parents, can use the Guest login to make deposits on your behalf. There is a minimum deposit of \$5.00 using a credit or debit card.

At an Account Management Center (AMC)

AMCs accept cash deposits only and do not give change. The minimum cash deposit is \$1.00. AMCs are located on the upper level of the Library and the first floor of the University Center.

At the LakerCard Center

The LakerCard Center accepts deposits by cash, credit, and debit card. There is a minimum deposit requirement of \$1.00 for cash and \$5.00 for credit or debit.

Purchases

To make a purchase, simply present the LakerCard wherever LakerBucks are accepted for payment, and the purchase amount will be deducted from your account. Account balances are shown after each transaction. You may view your transactions history at any time via LakerCard Online.

Disputes

Purchases with made with LakerBucks are like cash and cannot be disputed in the same manner as credit or charge card transactions. If a cardholder has a question about a transaction, he or she may contact the LakerCard Center and will be provided with transaction information. Disputes about the quality of goods or services purchased with the LakerCard must be addressed with the management of the purchase location.

Cardholder Responsibility

Cardholders should immediately report any lost or stolen LakerCard, or any unauthorized usage of the card, either in person at the LakerCard Center or by phone at (678) 466-4215 during normal business hours (LakerCard Center Hours). Cards may also be reported lost or stolen via LakerCard Online or LakerCard mobile. Residential students may contact the Director or Assistant Director of Housing to obtain a temporary card after normal business hours. Cardholders should go to the LakerCard Center the following business day to obtain a replacement card. There is a \$5.00 charge for the first replacement card.

- If loss is reported within two (2) business days, the cardholder's liability will not exceed \$50.00 in unauthorized charges.
- There is a \$5.00 replacement fee for lost, stolen, or damaged cards. The replacement fee increases by \$5.00 for each additional replacement card.

BankMobile Disbursements

The LakerCard Center provides student support for the BankMobile Disbursements, a technology solution, powered by BMTX, Inc. For more information on BankMobile Disbursements, visit this link: <https://bankmobiledisbursements.com/refundchoices/>.

6.5 Dining Services

The Dining Services program provides multiple dining locations. These locations are:

- **Lakeside Dining Hall** – the all-you-care-to-eat meal plan dining room located on the first floor of the Baker University Center.
- **The Grind Coffee House** – The Grind is a “We Proudly Brew” Starbucks coffee shop located adjacent to the Library and offers a variety of Starbucks coffees and coffee drinks, along with smoothies, sandwiches, and pastries.
- **Lakeside Wild Wings** – Lakeside Wild Wings is located adjacent to the Lakeside Dining Hall, across from The HUB. They serve a variety of wings each day, along with fries and beverages.
- **Sub Stand** – Sub Stand is located adjacent to the Lakeside Dining Hall, across from The HUB. Sub Stand offers a large variety of custom-made sandwiches and salads, along with soups, chips, and beverages.

6.5.1 Dining Options for Residential Students

All Laker Hall residents are required to purchase a semester meal plan. One of the two required semester meal plans must be selected in the online housing contract process, and the meal plan charge will be reflected on the student’s university account.

No meal plan changes are permitted the first week of classes. Students may change their meal plan once without penalty during the second and third weeks of the semester by visiting the LakerCard Center. A fee will be assessed for multiple plan changes. No changes are allowed after the third week of the semester.

Semester meal plans may be viewed at: <https://www.clayton.edu/aux-services/dine-csu/meal-plans>.

6.5.2 Dining Options for Commuter Students and Laker Village Students

Meal plans are also available for commuter students and Laker Village students. They may select any one of the semester meal plans or one of the block meal plans. There are a variety of ways to purchase a meal plan. Meal plans may be purchased anytime in the LakerCard Center with cash, credit, and debit. Meal plans may also be purchased online using credit or debit. Meal plans may also be purchased with available financial aid at the

beginning of each semester. Meal plan options may be viewed and purchased by visiting <https://www.clayton.edu/aux-services/dine-csu/meal-plans>.

6.5.3 Dining Dollars on the LakerCard

Dining Dollars are funds reserved specifically for food purchases at on-campus dining locations. They offer flexibility and variety and are included with most meal plans. (Dining Dollars may not be used at vending machines or for snacks in the Loch Shop or Loch's Nest.)

Unused Dining Dollars from fall semester carry forward to spring semester. Unused Dining Dollars at the end of spring semester will be refunded to the student account. If a debt to the University exists on the student account, the debt will be satisfied, and any remaining credit balance of \$10 or more will be refunded based upon your refund preference through BankMobile Disbursements, a technology solution, powered by BMTX, Inc. Issuance of refunds may take up to fourteen (14) business days.

6.5.4 Catering Services

Aladdin Catering Services is the exclusive catering provider for Clayton State University. Aladdin Catering offers a wide variety of menus and can customize menus to meet a wide range of tastes, budgets, and ingredients. Catering can also assist with the planning of every aspect of your event. For full details about the exclusive catering policy, visit: https://drive.google.com/file/d/1AcHAsF7saLL2J0nI1XJ9aS77WbnUV2i_/view.

Aladdin also offers discounted pricing to Recognized Student Organizations (RSOs). View the RSO Catering Policy here: https://drive.google.com/file/d/1AcHAsF7saLL2J0nI1XJ9aS77WbnUV2i_/view.

For more information about Catering at CSU, including Aladdin's catering guide and all policies, visit: <https://clayton.campus-dining.com/catering/>.

6.6 SmartPrint Services

Auxiliary Services operates a convenience printing service called SmartPrint. The service provides convenient printing locations on campus, with a cost of \$0.10 per page for black and white and a cost of \$0.95 per page for color printing.

6.6.1 Printing Locations

SmartPrint locations for Black & White Printers are:

- Library (first floor)
- University Center (adjacent to the LakerCard Center and The Loft)

- Center for Academic Success (Edgewater Hall, second floor)
- Music Building (first floor vending room)
- Laker Hall (lobby outside Chilaca)
- Clayton Hall (first floor)
- Magnolia Hall (lobby)
- Down's Center (third floor)
- Lakeview Science and Discovery Center (first floor)

SmartPrint color printing is only available in the University Center location.

6.6.2 Software Required for SmartPrint Operations

The software required to use SmartPrint is included as part of the standard load from The HUB. It may also be downloaded from: <https://www.clayton.edu/aux-services/smart-print/install>. The software is available for Windows and Mac users.

6.6.3 Support for SmartPrint Operations

Frequently asked questions and additional information about support for SmartPrint can be found at: <https://www.clayton.edu/aux-services/smart-print/help>.

Technical assistance can also be provided by the LakerCard Center by phone or email.

- Phone: (678) 466-4215
- Email: lakercard@clayton.edu

6.7 Vending Services

Auxiliary Services operates an extensive network of vending machines throughout the main campus, at Clayton State's East Campus, the Fayette Center, and Lucy Huie Hall. The locations with services provided may be viewed at: <https://www.clayton.edu/aux-services/vending>.

6.7.1 Obtaining a Refund

Refunds are issued in person at the LakerCard Center.

6.7.2 Reporting a Problem with Vending Equipment

To report a problem with vending equipment, please contact the LakerCard Center at (678) 466-4215 or lakercard@clayton.edu.

7.0 Budgets

Introduction:

A budget is a summary plan of the intended revenues and expenditures of the budget unit. Clayton State University, as a part of the University System of Georgia, receives funding support from the State of Georgia through the Board of Regents in the form of governmental appropriations. In addition to governmental appropriations, internal income from student fees and other sources is also available for budgeting. This section discusses the various budgets that are developed, the planning process, the budget development, the comparison of the budget to actual revenues and expenditures during the fiscal year, and the budget amendment process.

The CSU Budget Office is responsible for the overall preparation, administration, and reporting of the university's budgets. Services are provided to all budget units of Clayton State University. The Budget Office is responsible for compliance with financial policies and reporting requirements of the Board of Regents and the State of Georgia.

Topics in this section include:

- ❑ Budgeting Overview
- ❑ Budgets Developed at Clayton State University
- ❑ University System of Georgia Budget Cycle
- ❑ Budget Utilization
- ❑ Development of Original Budgets
- ❑ Budget Amendments
- ❑ Budget Reporting
- ❑ Responsibilities of the Department Budget Manager

7.1 Budgeting Overview

The Clayton State University Budget Office reports to the Assistant Vice President of Budget and Finance, and serves the campus for all functions pertaining to budgets.

The mission of the Clayton State University Budget Office is to plan, develop, and implement the university's annual operating budget for general and auxiliary funds and disseminate this information to the university community, the USG Board of Regents, and the State of Georgia Legislative Budget Office. The Budget Office provides timely, accurate and useful information to decision makers to assist them in making decisions congruent with the vision, mission, and goals of the university.

The development of the budgets for Student Activities is accomplished by the Vice President of Student Affairs. The development of the Capital Budget is accomplished by the Vice President for Business & Operations.

7.1.1 Budgets - General Information

The function of the Budget Office of Clayton State University is to prepare, maintain, monitor and report on all institutional budgets at the university according to established institutional and Board of Regents policies. The CSU Educational and General budget authorizes expenditures for the purposes of achieving the goals established in the university's Strategic Plan for the year.

The yearly plan for expenditures is reflected in the Annual Operating Budget, sometimes referred to as the original budget. Changes required during the fiscal year are applied through the Budget Amendment process.

The Board of Regents holds the President of the institution responsible for planning and administering all programs and related budgets for the university. Administrative and planning responsibility for budgetary units within Clayton State University is delegated by the President to the Campus Provosts and Vice Presidents. Further delegation of budget management is authorized by the Campus Provosts and Vice Presidents.

7.1.2 Budgets – Policy

The Budget Office is required to follow an established set of guidelines and policies set forth by the State of Georgia, the Board of Regents, and Clayton State University. The Board of Regents is a Constitutional Authority of the State of Georgia. As such, the legislature appropriates funds to the Board of Regents. The Board of Regents determines the amount of State Appropriation allocated to each institution in the University System of Georgia.

Board of Regents Policy requires each institution to prepare an operating budget for “educational and general activities” and for “auxiliary enterprises.” The educational and general activities budget is limited to the funds allocated (state appropriation) plus estimated internal income. The auxiliary enterprises budget is limited to the estimated internal income of the various campus enterprises.

Board of Regents policy also requires the submission of periodic budget revisions or amendments on a quarterly basis to the Regents Budget Office. The Regents Budget Office monitors and approves changes to the institutional budgets. Summary reports on institutional budgets are prepared by the University System Budget Office for approval at the Board of Regents meetings.

7.1.3 Budgets – Authorization Required for Expenditures

As defined in legislative definition, no part of the state appropriation or institutional internal revenue shall be available for expenditures until made available by written order of the State of Georgia Budget Authorities. Board of Regents policy states that “all expenditures of institutions must be approved by the Board of Regents before they are made.” This statement has been interpreted to require budgetary approval by the Board of Regents before the institution may incur obligations or expenditures.

All expenditures will be budget checked during processing. Any expense not passing budget check will be reviewed for authority.

7.2 Budgets Developed at Clayton State University

There are four basic budgets developed at the institution. These are:

- Resident Instruction Budget (Educational and General)
- Auxiliary Enterprises Budget
- Student Activity Budget
- Capital Budget

The Resident Instruction Budget (also referred to as “Educational and General”) estimates the revenues, and expenditures of funds earmarked for current operations of the educational program of the university. The Resident Instruction Budget includes fees paid by students and state funds allocated by the Board of Regents. The resident instruction budget includes the academic core of the institution, executive management, and all institutional support activities such as the Library, Business and Finance, Information Technology, and Plant Operations.

Auxiliary Enterprises consists of business operations conducted on campus which have as their expressed purpose the provision of services to students, faculty, and staff. The Auxiliary Enterprises operation must be self-sustaining utilizing internal revenues, and receives no state funds for operation. The CSU Auxiliary Enterprises Budget includes Bookstores, Catering, Food Services, Public Access Copiers, Reader Printers, and Vending Services. All Auxiliary Enterprises at CSU are contracted operations (except Athletics explained below).

The Athletic program is supported from an athletic fee paid each term by students taking four or more semester hours on campus and from internal revenues generated from ticket sales, concessions sales and donations.

The Athletics Budget estimates the revenues and expenditures that support the Intercollegiate Athletics Program. The Intercollegiate Athletics Program is operated as a part of the Auxiliary Enterprises Operation. The budget for Athletics is maintained separately.

The Student Activities Budget estimates the revenues and expenditures that support student activities programming. These programs are designed to provide co-curricular training in leadership and development of special skills, and to provide social and cultural activities for the university. The programs are financed through an activity fee paid each term by students taking four or more semester hours on campus.

The Capital Budget estimates the revenues and expenditures of funds earmarked for capital projects. All expenditures, except routine maintenance, involving new buildings, major remodeling or rehabilitation projects may be budgeted in the Capital Budget. The Capital Budget includes interest income from university checking accounts, appropriations for Major Repairs and Rehabilitation, and Georgia State Financing and Investment Commission Funds.

7.3 University System of Georgia Budget Cycle

The University System's Budget Cycle has been developed to correspond with the legislative sessions of the State of Georgia. Therefore, each institution's budget process must correspond to the System's Budget Cycle.

The budget cycle also insures that sufficient time is allowed for the planning and approval process to allow an approved budget to be established before the beginning of a fiscal year. The University System's fiscal year begins on July 1, and ends on June 30.

In accordance with present bylaws of the Board of Regents, “The Board shall make the allocation of funds to the several institutions at the May meeting or the next regular meeting following the approval of the appropriations act or as soon thereafter as may be practicable in each year and shall approve the budgets of the institutions and of the office of the Board of Regents at the regular June meeting in each year, or as soon thereafter as may be practicable. The Board of Regents shall be the only medium through which all formal requests shall be made for appropriations from the General Assembly and the Governor of the State of Georgia.”

The Board of Regents requests information from each institution in June-August to prepare for the initial budget request to the state legislature. In August/September, the University System submits its request to the Office of Planning & Budgets, and the Governor. In March/April, the State Legislature approves the State Budget and then the Board of Regents makes tentative allocations to the units of the University System. In April/May, the Board of Regents makes final allocations to the units of the University System.

7.4 Budget Utilization

Budgeting and accounting is a cooperative process. The budget is a communication tool for making plans or needs known, having these plans/needs validated by receiving funding for the fiscal year, and evaluating progress toward the goals. The accounting process identifies the sources of funds and assures specific, and sometimes restricted, uses for funds.

The budget becomes an authority to spend funds, subject to all of the other rules and regulations imposed upon the expenditures of Clayton State University funds. The budget unit has authority to expend up to the budgeted amount of the budget. Timely reporting with comparisons between budgeted amounts, expended amounts, and committed amounts (encumbrances) facilitate the management of budget unit funds.

7.5 Development of Original Budgets

7.5.1 Development of Resident Instruction Budget

The budget development cycle at the university covers a six-month span of time beginning in December and ending in June. The processes that occur during the six-month cycle are discussed below along with an overview of the processes occurring at the State Legislature and Board of Regents level of government. The timing of the development process is detailed in the Budget Calendar. Budget Development is strongly influenced by the CSU Strategic Plan which is continually updated to reflect current priorities.

Budget Philosophy

The CSU budget expresses in terms of dollars the funded programs and plans of the university for the budget year and the estimated income by sources necessary to finance those programs and plans. Budgetary approval by the Board of Regents and by the university administration constitutes authorization to expend the funds as budgeted and to collect the anticipated income. The approved budget is the primary instrument of fiscal control and must contain all income and expenditures of the university.

University income comes from state appropriations and internal income such as student fees, indirect cost recoveries from sponsored projects, gifts and grants, sales and services of educational departments, and sponsored operations. State appropriations are provided annually to the Board of Regents for support of all institutions in the University System. The Board of Regents then allocates the state appropriations to each institution in the University System of Georgia. Internal income is estimated by the Budget Office when developing the original budget. Internal Income is adjusted by Budget Amendment after analysis of actual collections periodically during the fiscal year.

Every student, faculty and staff member of the university is given direct and/or indirect opportunities to make suggestions and/or recommendations through appropriate channels as to how the budget should be structured to best meet the needs of the university and its various units.

The Board of Regents policy requires that all proposals to increase mandatory student fees and proposals to create new mandatory student fees shall first be presented for advice and counsel to a committee at each institution composed of at least 50% students. This requirement is met at Clayton State University through the Student Fees Advisory Board (SFAB). The SFAB is composed of 8 student members, 5 faculty members, 2 staff members, and is chaired by the Associate Vice President of Student Affairs. Additional specific information about the SFAB may be found at <http://www.clayton.edu/SFAB>.

The university operates in accordance with an overall strategic plan. The current strategic plan for 2011 – 2014 may be viewed at <http://www.clayton.edu/Portals/1/president/strategicplanfinal062211.pdf>.

Operating in accordance with the strategic plan, the Planning & Budget Advisory Council is a component of the university strategic planning process. The Planning & Budget Advisory Council is charged to ensure the strategic allocation of resources in conjunction with Clayton State University's strategic plan and goals. The Council develops the annual budget plan for recommendation to the President based on input received from all departments of the university through the strategic planning process. Additional

information about the Planning and Budget Advisory Council may be found at <http://www.clayton.edu/planning-budget-council>.

The CSU Strategic Priorities provide the guiding factors to consider when developing the campus or unit priorities. All requests must be linked to one of the six categories: enrollment management, academic and non-academic program development, information and communication technology, facilities and administrative support, external relationships and image management, and employee development.

University Budget Cycle

The Budget Cycle of the university is a continuous process involving all management levels of the university, the staff and appointed board of the Board of Regents, the state office of Planning and Budget, the State of Georgia Governor's Office, and the General Assembly of the State of Georgia. Amendments are made as necessary to the current year's operating budget while the budget for the next fiscal year is being developed.

The development of the university budget follows the time schedule provided below during any given fiscal year. This time schedule includes the processes that occur at Clayton State University along with an overview of the processes occurring at the State Legislature and Board of Regents level of government.

Budget development processes must occur in a timely sequence. The university budget development cycle covers a six-month period beginning in December and ending in June. The budget calendar is available of the Budget web site, at <http://www.clayton.edu/budget>.

AUGUST/SEPTEMBER-

Chancellor/Regents submit System Budget Request to Office of Planning & Budgets and the Governor

DECEMBER/JANUARY -

University division heads present detail unit budgets to President's Cabinet

JANUARY -

Chancellor presents new fiscal year budget request to Joint Appropriations Committee

JANUARY/FEBRUARY -

In February of each year, the Vice Presidents submit funding requests to the University Budget Office for the next fiscal year. All funding requests must be in alignment with the university's strategic priorities. The Vice Presidents then have an informal meeting with the President, Vice President for Business & Operations, Assistant Vice President of Budget and Finance and the Director of Budgets to discuss their budget needs for the next fiscal year. Once data has been gathered from all the meetings, it is compiled and distributed to the Planning & Budget Advisory Council (PBAC).

The Vice Presidents present their requests to the PBAC members and provide justification for those requests which include how it aligns with the university's strategic priorities. The PBAC members are then asked to review all requests and prioritize them by voting. All the votes are then compiled to provide a prioritized listing of each request. The President is provided this prioritized listing as recommendations for funding.

University presents its Budget Request to Chancellor's Staff
University provides revenue estimate for Budget to Regents Office

MARCH/APRIL –

Legislature approves State Budget that includes allocation to University System
Regents make tentative allocations to colleges/universities
The president of the university reviews the prioritized list and gathers additional information from vice presidents as needed in order for him to make decisions on final allocations for the upcoming year.

APRIL/MAY –

Regents make final allocations to colleges/universities

Once the Board of Regents, usually at its April meeting, has determined the level of state appropriated support that will be allocated to the university and has adopted tuition and fee policies, the President then makes the final decision on any new funding allocations. The University Budget Office then distributes the final allocation to each division and major unit with instructions for developing individual unit budgets. The budget office compiles the individual unit budgets into the university's proposed budget. After review and finalization by the President and Vice President for Business & Operations, the proposed budget is submitted for approval to the Board of Regents in accordance with Board guidelines.

University Budget Recommendation is prepared and submitted to Regents for approval

MAY/JUNE –

Regents approve university budget
Approved budgets provided to university units
Budgets distributed to each Vice President.

Budget Process

The process of creating a budget for the next fiscal year is a multi-step approach utilizing informal meetings and data collection, presentations and discussion at a meeting of the Planning and Budget Council, review and ranking of funds requests by the Planning and Budget Council, presentation of priority assignments to the President as recommendations for funding, and final decision of the funding requests by the President.

In the initial phase of the budget process the Vice President for Business & Operations requests each university division/department to submit a detailed budget request in a format that will provide information to support additional funding, redirection of funds, and reduction in funding. Through this process the entire university community should have an opportunity to express, either directly or indirectly, their needs and concerns to the President and his/her staff as these requests are presented to the President and appropriate members of the President's Cabinet. Requests must be consistent with division/department as well as university planning priorities. The detailed budget request format to be used will be provided by the Vice President for Business & Operations on an annual basis.

Budget requests should focus on items of the highest priority for the campus or unit. The Vice Presidents and Provosts are expected to submit reasonable requests for new resources in support of institutional initiatives. This is not an incremental budget process and each unit is expected to review current programs for potential improvements or reallocations prior to presenting a request for additional funds.

There are no limits imposed on the request for technology and equipment. However, all requests should be reasonable and in priority order.

At times assigned for each division/department, the President, Vice President for Business & Operations, and the Vice President for divisions under his/her supervision, meet with unit heads to discuss their budget request. Any need or concern of students, faculty, and staff may be presented during these meetings.

Next, the President's Cabinet, using the results of the meetings with unit heads, prepares a Budget Request to be presented to the Chancellor's Staff.

The President, Vice President for Academic Affairs, and Vice President for Business & Operations then meet with members of the Chancellor's Staff to discuss the university's budget request.

As the university works through its process to formulate a total request for the university, the Chancellor, Board of Regents, Governor, and the Georgia legislature work through a process for the University System and the State. The Chancellor presents a request to the Board. The Board approved budget request for the System is presented to the Office of Planning and Budget and to the Governor who presents a budget request for the state to the legislature for approval.

As this process is continuing, the university is still involved in the Budget Planning process. The Vice President for Business & Operations must next submit an estimate of revenue other than state appropriation to the Vice Chancellor for Fiscal Affairs. This information is used to determine an appropriate allocation to the university from the State Legislature's allocation to the Regents.

In the next phase, the university receives the Regent's allocation. The President and his/her staff review budget priorities established, budget requests from the various units, and funding received from the Regents in order to make appropriate allocations to units.

Recommendations for salary increases are received from unit heads. Recommendations are reviewed by the President and appropriate Cabinet members for inclusion in the university budget.

The Board of Regents approves the average salary increase and provides the funding in the allocation of state appropriations to the institution. Guidelines are provided by the Board of Regents for the administration of the salary increases. At the campus, the Provosts and Vice Presidents receive worksheets and instructions to recommend the merit salary increase for full time employees in their area. The approved salary increase is included in the development of the budget document

The President's budgetary decisions then will be based upon:

- Budget and planning priorities established for the university,
- Budget conferences with senior administrators,
- Budget conferences with division/department heads,
- Written budget requests, and
- Allocation of funds from the Board of Regents.

After these decisions are finalized the Vice President for Business & Operations will prepare the format budget document and all pertinent information for submission to the Board for approval.

Institutional and Campus Reallocations

Reallocations may occur at two levels, institutional and at the campus or unit level. Campus or unit reallocations occur when current programs and/or activities are reduced, eliminated, or efficiencies are created, and the resulting resources are moved to higher priorities. Funds that are available for reallocations include any current budgeted commitment for positions and operating expenditures. Reallocations may be used as a means of funding institutional and campus priorities.

Requests for Position Reclassifications and Promotions

All requests for reclassifications and promotions of employees must be submitted to the university Human Resources department. Review and approval of reclassifications and promotions should coincide with the development of the annual budget.

Grant Budgets

Sponsored Grants do not always conform to the fiscal year utilized by the University System of Georgia. If the grant has already been established when the original budget is being developed, the budget amounts for the grant should be part of the original budget. If the grant is awarded after the original budget is developed, the grant should be incorporated into the budget utilizing the budget amendment process. Grant budgets are incorporated into the original budget or in a budget amendment through a cooperative effort between the grant's Principal Investigator, the Grant Office, and the Budget Office.

Budget Approval by the Board of Regents

The budget as submitted or as adjusted by the Board will be approved and notification will be forwarded to the President and Vice President for Business & Operations. Once approval is received, the Vice President for Business & Operations will send a copy of each division/department's budget to the unit heads. Also, the President will send contracts or letters of appointment to all faculty and staff to notify them of approved salary for the new budget period.

Each division/department has the opportunity to request amendments to approved budget allocations during the year. Procedures and forms have been established for this purpose.

7.5.2 Development of Auxiliary Enterprises Budget

The Vice President for Business & Operations advises the President concerning the Auxiliary Enterprises financial position, and prepares the Auxiliary Enterprises budget using input from the unit managers concerning needs, concerns, and salary recommendations. The Auxiliary Enterprises Budget includes budgets for the Bookstore, Dining Services, LakerCard, SmartPrint, Vending Operations and Athletics. These units generate all of the funds in this budget. No state funds are allocated for Auxiliary Enterprises. Athletics are supported by student fees as well as ticket and concession sales, and donations. The athletic budget will be developed jointly with recommendations from the Vice President of Business and Operations and the Athletic Director. The Athletic Fee which funds the Athletic Budget will be reviewed and recommended by a committee of faculty, staff and students with students comprising 50% of the committee. This budget is developed during April/May and submitted along with the E&G budget to the Regents for approval at either the May or June Board meeting.

7.5.3 Development of Student Activity Budget

The Vice President of Student Affairs has principal responsibility for coordinating the development of the Student Activity Budget. The Associate Vice President for Student Affairs, officers of the Student Government Association, and the Student Services Committee are also involved in the development the Fees associated with this budget. The Student Services Committee is comprised of 50% students, 50% faculty and staff.

Once recommendations are developed and approved by the SGA, the Student Services Committee, and the Vice President of Student Affairs, they are forwarded to the Vice President for Business & Operations so that the formal budget document can be developed and approved by the President. To insure the legal expenditures of such funds, the Board of Regents requires the President and the Chief Business Officer of each institution to annually review the budget for the proposed use of such fees and the President shall certify to the Board of Regents that the proposed expenditures for such fees are for educational, cultural, recreational, or social purposes for the benefit of the students.

Prior to July 1, the university will submit the Student Activity Budget to the Board of Regents for approval. The Vice President of Student Affairs is notified once the budget is approved.

7.5.4 Development of Capital Budget

The university budgets funds for capital expenditures in its Capital Budget. These funds include interest income from university checking accounts, Major Repairs and

Rehabilitation Funds (MRR), and Georgia State Financing and Investment Commission Funds.

As provided by current policy, the Board of Regents shall establish on an annual basis the projects to be included in the University System building and MRR program upon the recommendation of the Chancellor who shall take into consideration the funds available and the requests of the presidents of the institutions.

All new buildings, major remodeling, rehabilitation, or other projects, except routine maintenance, involving a campus of a unit of the University System using funds from any source shall require authorization by the Board of Regents and shall be implemented in accordance with established Board procedures under the direction of the Vice Chancellor for Facilities. All such projects are included when approved in the Capital Budget.

The Assistant Vice President for Facilities Management and the Vice President for Business & Operations develops this budget and amendments during the year using estimates of interest income, allocations received from the Board of Regents for approved projects, and transfer of funds from the Resident Instruction Budget, when approved.

Once developed, the Capital Budget is shared with the Cabinet and PBAC and approved by the President and sent to the Chancellor for approval.

7.6 Budget Amendments

From time-to-time, particularly at the beginning of each new academic period, budget adjustments are necessary for the university and for individual budget units. These amendments can be made at the request of the unit Vice President and are subject to Regents' approval.

7.6.1 Resident Instruction Budget Amendments

Adjustments to the Total Budget

As soon after registration as possible in each academic period, the Vice President for Business & Operations shall assess the total budget situation and discuss overall needs with the President, making recommendations for such gross budget adjustments as may be needed. The President then normally consults with each chief administrative officer whose budget may be significantly affected by these needed adjustments. With this input from the administrative staff, the President will determine the adjustments that are to be made. Each chief administrator whose budget will be affected either positively or negatively will confer

with others in his/her area of responsibility that administer budgets and will make recommendations for the necessary adjustments, processing these recommendations through the Vice President for Business & Operations. No change will be made in recommendations without further consultation with the officers involved. The Vice President for Business & Operations will then prepare the necessary, formal budget amendment for the university. Each budget manager will, as soon as possible after Regents' approval, be provided a copy of the amendment reflecting necessary adjustments for his/her area of responsibility. The chief administrators will receive copies of unit budgets in their area of responsibility.

Adjustments to Individual Units

Adjustments to unit budgets may be made to meet departmental or program needs subject to Regents' policies and approval. Budget managers needing budget adjustments should discuss these needs with the administrator at the next level of responsibility and with the Vice President for Business & Operations early in their considerations. Requests for amendments should be made only after due consideration and consultation with the individuals involved. Formal requests must be submitted to the Vice President for Business & Operations using the **Clayton State University Request for Budget Amendment Request** form. The Budget Amendment Request (BAR) form is available on the Clayton State University website at <http://adminservices.clayton.edu/budget/budgetamendments.htm>. The form may be filled in on-line and printed, or printed and filled in by hand. Once it is filled out, it will need to be signed by all management levels responsible for the budgets changed by the amendment. There are detailed instructions available on the website.

Budget Amendment Submission to the Board of Regents

Each institution is required to submit budget amendments to the Board of Regents on a quarterly basis. The CSU Budget Office submits the institutional budget amendments to the Board of Regents as required by summarizing the Departmental Budget Amendments approved during the quarter and adjusting estimated revenues based on actual collections to date.

Budget Amendment Approval by the Board of Regents

Following Regents' approval, copies of approved amendments will be provided to each budget manager. No informal adjustments or related actions can be taken until formal approvals are received.

Near the end of the fiscal year, a final budget amendment for the fiscal year is submitted. The purpose of this final amendment is to closely align projected revenues and expenditures to budget amounts using the current information available and make certain that the university will not overspend its budgeted authority. This final amendment along with resulting end of year expenditures will be used during the audit conducted by the State Department of Audits and Accounts.

7.6.2 Auxiliary Enterprises Budget Amendments

The operation and control of Auxiliary Enterprises is assigned to the Vice President for Business & Operations. There are no state appropriations utilized in the operation of Auxiliary Enterprises. Generally, budget amendments are not required as long as expenditures are managed such that they do not exceed revenues.

The Athletic Program, although operated as part of Auxiliary Enterprises, is funded by an Athletic Fee paid each term by students. Changes in enrollment patterns will affect the Athletic Program revenues, and may require amendment to that budget to adjust expenditures to match newly projected revenues. As soon after registration as possible in each academic period, the Vice President for Business & Operations shall assess the total budget situation for the Athletic Program, and discuss overall needs with the President and appropriate staff. Amendments to the budget will be made as required.

7.6.3 Student Activity Budget Amendments

As soon after registration as possible in each academic period, the Vice President for Business & Operations shall assess the total budget situation and discuss overall needs with the President, making recommendations for such gross budget adjustments as may be needed. Since Student Activity programs are financed through an activity fee paid each term by students, changes in enrollment patterns will affect revenues available. The President will then consult with the Vice President for Student Affairs regarding changes to the Student Activity Budget. After receiving input from the Vice President for Student Affairs regarding recommended changes to adjust expected expenditures with new projected revenues, the Director of Budgets will prepare a budget amendment and submit the amendment to the Regent's Office for approval.

7.6.4 Capital Budget Amendments

The Vice President for Business & Operations assistant Vice President for Budget and Finance will monitor the revenues as compared to estimated revenues during the fiscal year. Any budget amendment that may be required will be developed and approved by the Vice President for Business & Operations before being submitted to the Regent's Office for approval.

7.7 Budget Reporting

7.7.1 Budget Reporting General Definitions

- Account: A classification related to the type of expenditures. Examples of Account titles are Salaries-Faculty, Salaries-Staff, Travel, Supplies and Materials, and Equipment
- Budget Amount: The amount of budget authorized for obligation for a budget unit itemized by Account
- Encumbrances: A governmental accounting term for reserving funds for specific expenditures. Encumbrances are tracked by Account, and may originate from many functional areas, such as payroll, purchasing, or accounts payable. Encumbrances are increased to encumber filled positions or recognize issuance of a purchase order for purchase of goods/services. Authorizations for travel may also be encumbered. Encumbrances are decreased when (1) payroll expenses are posted so that expenses are increased and encumbrances are decreased, or (2) when goods and services are received on a purchase order that was previously encumbered (reduces encumbrances, increases expenditures, and increases accounts payable)
- Pre-Encumbrances: An estimated value of a future encumbrance that is replaced by an encumbrance when the correct value is known
- Expenditures: Expenditures are recognized whenever goods and services are received. A liability is established (accounts payable) when the expenditure is recorded. (Also reduces encumbrances per explanation above.)
- Free Balance: A calculated amount indicating the portion of the “Budget Amount” for the Account code that is still available for obligation after deducting cumulative expenditures and encumbrances. On the Budget Progress Reports, the Free Balance is referenced as “Remaining”.

7.7.2 Budget Progress Report

The Budget Progress Report is the primary reporting tool used by the department budget manager for tracking obligations and expenditures for all non-sponsored fund sources. For sponsored fund sources, see Grant Reporting in Section 7.5.3 below. For the budget unit, the report lists by account code the amounts available for (1) Budget Amount, (2) Expended, (3) Encumbered, and (4) Free Balance. The Budget Progress Report displays cumulative values for the Budget Period with an option provided to obtain transactional detail. The Budget Progress Report may be produced at any time by the department budget manager from the CSU web site. The navigation to the reports is (1) Administrative & College-wide Services, (2) CSU Services, and (3) Budget Progress Reports. The

department budget manager will use their email userid and password to gain access to the budget progress report.

Upon gaining access to the reports page, the choices available are:

- Summary Report – 019
- Grant Report – 023 (see section 7.7.6 below)
- Detail Report – 036
- Detail Report – Consolidated
-

7.7.3 Summary Report

The summary report provides options for Fund Code and from one to six separate department selections. The report provides summary data (no detail transactions) for all accounts within the departments specified. Values for the Appropriation Budget (high level budget), Organizational Budget (lower level budget), Pre-Encumbrance, Encumbrance, Expended, and calculated remaining value are presented on this report by account code.

7.7.4 Detail Report – Line Item

The Line Item Detail Report allows the manager to select a Fund Code, followed by one or two departments to be included in the report. This report provides the same information as the summary report, but at a more detailed level. Actual journal entries, accounts payable vouchers, purchase orders, and accounts receivable direct journals are presented. Totals available are the same as the summary report.

7.7.5 Detail Report – Consolidated

The Detail Report – Consolidated provides essentially the same information as the Detail Report – Line Item. In the consolidated report, the purchase order voucher and accounts payable voucher information have been consolidated to conserve space on the report. The remaining balance and totals are the same as the summary report.

7.7.6 Grant Reporting

Reporting for sponsored funds is provided in the Grant Reporting feature on the web site. To access the Grant Report, the navigation to the reports is (1) Administrative & College-wide Services, (2) CSU Services, and (3) Budget Progress Reports. The department budget manager will use their email userid and password to gain access to the budget progress

reports. Upon selecting the Grant Report, the manager will be given the option to select a grant and a department. The report provides summary data for Grant Budget, Pre-Encumbrance, Encumbrance, Expended, and a calculated remaining value.

7.7.7 Budget Reporting to the Board of Regents

The CSU Budget Office provides quarterly summary reports to the Board of Regents as described in Section 7.4.3 above. Detailed budget reports are available to the Board of Regents from the University System maintained data warehouse. The data warehouse contains accounting and budgeting information from all institutions. CSU submits data to the data warehouse on a monthly basis.

7.8 Responsibilities of the Department Budget Manager

The department budget manager is responsible for the day-to-day fiscal management of the budget unit. The duties of the department budget manager include:

- Preparation and submission of forms required for development of the original budget
- Frequent analysis of the Budget Progress Report to ensure that the current budget is accurate and sufficient for continued operation of the department for the remainder of the fiscal year. Analysis should ensure that both major expenditures categories (Personal Services and Non-Personal Services) stay within budget.
- Periodic (at least quarterly) review of the detailed expenditures made against each account(s) for completeness and correctness. The review should verify the business integrity of transactions. Problems may be resolved with the Budget Office at 678- 891-2375.
- Project budget needs for Part-Time Staff and Student Assistants
- Prepare requests for Budget Transfers when appropriate
- Review and approve all expenditures incurred with the department purchasing card and payment requests, including verifying the purchase is allowable under state guidelines
- Verify copier and printing charges for valid expenses
- Verify department inventory and maintain appropriate records
- Communicate regulations, policies, and budget limitations to appropriate staff members

8.0 Cash Management

Introduction:

This section has been developed as a comprehensive resource of information on cash management policies and procedures at Clayton State University.

Topics in this section include:

- ❑ Responsibilities
- ❑ Internal Controls over Cash
- ❑ Cash Receipting
- ❑ Cash Disbursing
- ❑ Petty Cash
- ❑ Bank Accounts for General Operations

8.1 Responsibilities

8.1.1 Primary

The Vice President for Business & Operations of Clayton State University has authority and responsibility for all cash management operations of the institution. At the discretion of the Vice President, responsibilities may be delegated to departments and to administrative offices as required to facilitate convenient functional operations for students, faculty, and staff. All cash operations are subject to review by both the Board of Regents of the University System of Georgia, and the State of Georgia Department of Audits and Accounts.

8.1.2 Delegated Responsibilities

Where the responsibilities have been delegated to departments or administrative offices, these departments / administrative offices must:

- Receive and transmit funds to the Bursar's Office in accordance with the institution's policies
- Ensure that proper records are maintained and that entries are made properly and in a timely manner
- Ensure that funds are adequately safeguarded
- Ensure that effective internal controls are in place
- Conduct periodic reviews of the cash activities to determine that all applicable institutional policies and procedures are being followed

8.1.3 Central Control Point for Cash Operations

The Bursar's Office has been designated as the central control point for cash operations at Clayton State University. All cash collected by the departments / administrative offices must be delivered to the Bursar's Office in accordance with the procedures outlined in this manual. The Bursar's Office will properly account for the collections and deposit the cash into the university bank account.

8.1.4 Individual and Supervisory Responsibilities for Cash

Each individual and supervisor involved in cash handling is responsible for the cash being controlled. Cash handling procedures are explained to employees having cash handling responsibilities. Employees having these responsibilities are given a copy of these procedures and are required to sign a copy to indicate receipt and training received. The information is available on the Bursar website at: <http://www.clayton.edu/bursar/cashhandlingpoliciesprocedures>

Cash, checks, credit card receipts, and receipt books must be kept in secure locations. To protect the funds, they should be kept in a lockable container, such as a cash box, and stored in an area that is not visible to unauthorized personnel. The container should not be left unattended during the working day. All funds must be kept in a secured (locked) storage area, such as a file cabinet or safe, at night. Upon review, the Assistant Vice President for Budget and Finance/Controller will recommend appropriate type of storage.

For cash operations within the Bursar's Office, the Bursar will issue any employee assigned to a cashier window a cash drawer and key. The cash drawer will contain an amount determined by the Bursar, in consultation with the Assistant Vice President/Controller. The Bursar shall maintain a formal, written record of these assignments. Each cashier must sign a certification, which identifies the amount of beginning cash and outlines general accountability. The Bursar and the AV P of Budget & Finance/Controller shall maintain a formal record of these affidavits. Affidavits shall be amended accordingly, as cash drawers are submitted to the Bursar.

Funds collected outside the Bursar's Office should be transmitted to the Bursar's Office on a daily basis.

All Clayton State University communications that request payment, both verbal and written, should request that checks be made payable to "Clayton State University". Checks must be endorsed immediately upon receipt with the following: **"For Deposit Only, (Department Name), Clayton State University"**. The endorsement must be on the reverse side of the check. Upon request, the Bursar's Office will supply an appropriate inked stamp for endorsing the checks.

Individual Responsibilities

Each employee or student involved in cash handling is responsible for the cash within the individual's control. The employee or student is also responsible for complete and accurate reporting of all funds received in accordance with Clayton State University policies and procedures.

Supervisory Responsibilities

Each supervisor involved in cash handling is responsible for the cash in direct control of the supervisor. In addition, the supervisor of the employee handling the cash is responsible for providing adequate supervision, and for ensuring that proper operational safeguards and procedures are followed. The supervisor is also responsible for complete and accurate reporting of all funds received under the supervisor's control.

8.2 Internal Controls over Cash

8.2.1 Definition of Internal Controls

Internal controls are the measures an organization adopts to:

- Encourage adherence to agency policies and procedures
- Promote operational efficiency, and effectiveness
- Safeguard assets by protecting them from waste, loss, theft, or misuse
- Ensure that resources are used in accordance with law and donor intent
- Ensure the reliability of accounting data
- Allow the production of reliable financial statements based on accurate and verifiable data.

8.2.2 Access Control

Access to cash must be limited and all funds must be kept in a secure location at all times. Funds must be kept in locked cash drawers, locked cash boxes, in closed cash register drawers, or in safes. Funds in excess of normal operational amounts must be deposited in accordance with the institution's deposit policy. Only one employee may work out of one cash register drawer or cash box, and that one employee is accountable for the cash in the cash register drawer or cash box. Unauthorized personnel should not be permitted in areas where cash is handled.

8.2.3 Supervisory Review

All cash operations must be subject to supervisory review. In all instances, the duties must be segregated among employees such that one person will check the work performed by another person. It is preferable for the work to be checked by a supervisor.

8.2.4 Complete Financial Records

All cash must be recorded in the institution's financial records. Cash receipts and cash transmittal forms must indicate the account(s) to which the funds are to be credited. If cash is collected in departments or administrative offices, a complete audit trail must exist from the point of initial collection in the department/office to the final posting of the receipt into the financial accounting system. Each individual and supervisor involved in cash handling is responsible for the cash being controlled.

8.2.5 Separation of Duties

Separation of duties should be designed to eliminate the possibility of one person being able to receive the cash, prepare the transmittal (if applicable), prepare the receipt, prepare the deposit, and then reconcile the balances back to the institution's general ledger balances. Ideally, each of these steps will be performed by a different person. Even in a small office where complete separation of duties is not possible, it is important that the supervisor review the cash operations daily.

The same level of separation of duties should exist in the cash disbursing operations to eliminate the possibility of one person being able to initiate an order for goods and/or services, document the receipt of the goods and/or services, and finally establish the request for payment for the goods and/or services. Ideally, each of these steps will be performed by a different person, but as a minimum these steps must require at least two people (one of which may be the supervisor).

8.3 Cash Receipting

8.3.1 General Policies

Authority to Charge or Collect Fees

Departments and/or Administrative Offices must have a written authorization from the Vice President for Business & Operations before fees may be charged and/or collected.

Documentation and Supervision

A receipt must be provided for all cash received. The receipt may be computer generated, from a cash register, or a manually completed triplicate pre-numbered receipt.

Supervisory control should be exercised over the cash receipting, depositing, and recording of cash into the financial accounting system.

Separation of duties are required among employees receiving and processing receipts, with different people being responsible for receiving cash, for depositing cash, and for recording cash into the financial accounting system.

Each cashier must maintain a separate cash drawer that can be locked, or a separate cash box that can be locked. Each cashier is responsible for safeguarding the funds issued to them and for the funds collected by them during the course of their duties. When the cashier leaves the work area, the cash drawer must be locked or the cash box must be locked and stored in a secure location.

For computer generated receipts, each cashier must use a unique userid and password to gain access to the Banner System. By using a unique userid and password, a separate “cashier session” will be maintained in the system for the cashier. The separate session provides unique totals for balancing at the end of the work day.

Petty cash funds will be kept in a separate safe by the employee responsible for petty cash.

Petty cash in the Bursar’s Office is handled by the head cashier. Working petty cash funds may be kept in a separate lockable cash drawer during working hours as required. Petty cash funds and other funds collected during the day may be kept in the same cash drawer.

The Bursar will keep the combination for these petty cash safes (or keys for lockable cash drawers) in a sealed envelope stored in a secure location. Should petty cash be required when the individual responsible for petty cash is not available, this combination may be utilized to gain access to the petty cash funds.

If a cashier is absent and there is a need to enter the cash drawer, there must be two employees present at all times and a count will be performed and certified by both employees. The count and the verifying signatures will be kept on file by the Head Cashier.

8.3.2 Specific Policies

Cash Receipts Accepted by the Clayton State University Bursar’s Office

Mail Receipts

All checks received in the mail will be recorded on a “Daily Cash Receipt Log” before being recorded on a cash receipt. The employee maintaining the “Daily Cash Receipt Log” must not be the same employee creating the receipt. After recording the check(s) received in the Daily Cash Receipt Log”, the checks will be provided to the employee normally charged with cash receipting operations.

Since the payer is not available to receive a copy of the receipt, the customer’s copy of the receipt will be filed with the normal cash receipting documents. A copy of the receipt may be mailed to the payer upon request.

Receipts from Individuals at the Window

All receipts issued from the Bursar’s Office must be computer generated from the Banner System, unless that system is inoperable when the receipt needs to be generated.

When a receipt is printed from Banner, it will be presented to the payor as acknowledgement of the receipt of payment

If the Banner System is inoperable, then a manual, pre-numbered receipt may be issued with the approval of a supervisor. The manual receipt must be cross-referenced to a computer-generated receipt from the Banner System when that system becomes operational.

Acceptance of credit cards must be in accordance with all applicable institutional and banking requirements/regulations including those regarding retention of sensitive data.

All payments by check must be made payable to “Clayton State University”.

Credit Card Payments from Web for Registration

Acceptance of credit cards for on-line registration is handled for Clayton State University by a third-party vendor. A daily report of collections is available from the Banner System. These payments are posted through the normal end of day closing process in the Bursar’s Office.

When the credit card transactions are settled by the various credit card companies, the totals are posted to the Clayton State University bank account.

Receipts that Create New Agency Fund Accounts

Acceptance of checks or payments that create a scholarship, or other agency fund account, must have a completed **Agency Agreement Application** form on file prior to acceptance. The check may be held for a reasonable time period for later processing if time is required to get the **Agency Agreement Application** form completed. Each agency agreement should be completed by Clayton State University and signed by the sponsor(s). The agency agreement should contain complete information on the terms and conditions of the agency relationship, the purpose of the funds being placed, and their ultimate disposition (including unused balances).

The Agency Account Application may be found at: <http://www.clayton.edu/Portals/535/Agency-Account-Application.pdf>.

After five years without activity, unused balances must be forwarded to the state as mandated by escheat laws, unless the disposition of unused balances is covered in the agency agreement. A signed letter from the sponsor(s) with all required information may be used as an agency agreement. All unused scholarship funds will be returned to the sponsor at the end of 18 months of inactivity unless otherwise stated by the sponsor. If the account is inactive for a period of 5 years and the institution is unable to contact the sponsor, then disposition of the unused balance

will be in accordance with the laws of the State of Georgia regarding unclaimed property as contained in the Official Code Sections 44-12-190 through 44-12-235.

Gifts to the Institution

The policy of Clayton State University is to encourage all donors to make their gifts payable to the Clayton State University Foundation, Inc. The foundation is a charitable corporation that receives and manages contributions made for the benefit of Clayton State University. All checks received by Clayton State University that are made payable to Clayton State University Foundation shall be immediately delivered to the foundation for processing.

If a check is received made payable to Clayton State University that should have been payable to the Foundation, it must be first deposited to the university's bank account. When documentation is received to show the donation was meant for the Foundation then a check will be cut by Accounts Payable to transmit the funds accordingly.

Any checks received as gifts to Clayton State University that are not made payable to the Clayton State University Foundation should be immediately delivered to the Vice President for Business & Operations for acceptance. All gifts in excess of \$100,000 in value must be officially accepted by the Board of Regents of the University System of Georgia. Conditional acceptance and acknowledgement of gifts may be issued at the discretion of the Vice President for Business & Operations.

Clayton State University is required to submit an annual report to the Board of Regents of all private gifts to the institution that are valued over \$100,000. The report is due by October 31st of each year.

Cash Receipt Summary from Departments / Administrative Offices

Cashiers in the Bursar's Office accepting a turn-in of cash from a department or administrative office shall:

- Review the Cash Receipt Summary report
- Balance the cash/checks turned in with the report
- Verify accuracy of entries on the Clayton State University "Daily Report of Cash Received" or the cash report specifically designed for the department
- Verify that appropriate documentation is received with the report, such as cash register tapes, adding machine tapes for checks, beginning and ending receipt numbers, etc.
- Create a receipt(s) for the report using the Banner System to generate the receipt
- Provide a copy of the receipt to the person making the report

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- Exception to the above is the Loch Shop and Card Center– they will bring deposits to the Bursar Office ready for transmittal via armored car to the university’s banking institution.

Wire Transfers to the Institution

Upon notification by the bank of a wire transfer to the institution’s bank account, a receipt will be issued for the amount of the transfer. All such receipts are to be supported by either a validated deposit slip or a properly executed credit memo from the bank. These payments are posted through the normal end of day closing process in the Bursar’s Office.

Cash Receipts accepted by Departments / Administrative Offices

Cash receipts must be produced for all payments received. The receipts may be produced on a cash register, manually completed using an official pre-numbered triplicate copy receipt, or may be computer generated. The original copy of the receipt must be given to the payer. A receipt copy (if other than cash register receipt) is placed in a file of receipts maintained by the department in numerical order to assure that all receipts are accounted for. If a cash register is utilized, a copy of the cash register journal tape must be retained by the department. Duplicate copies of the cash register journal tape or copies of all manual receipts must also be submitted with a cash receipts summary to the Bursar’s Office.

- Cash receipts with summary must be submitted daily to the Bursar’s Office.
- The summary may be computer generated, or may be on the **Miscellaneous Deposit** form that can be found at <http://www.clayton.edu/bursar/forms>.
- All deposits should be broken down into Cash, Checks, and Credit Cards in this order.
- Credit cards should include the signed receipts as well as the close out and detail with the breakdown of card type, such as MC/Visa, American Express, and Discover.
- Two adding machine tapes should accompany each form of currency, cash, checks, & credit cards.
- The Total of the cash, checks, & credit cards should also appear on the deposit.
- If a Banner detail code is available for the deposit, that detail code should be indicated on the deposit. If a Banner detail code is not available, then the full account number is required, including Fund, Program, Class, Department, and Account.
- All checks should be properly endorsed for deposit only (use department stamp)
- The deposit summary must be signed and dated
- Loose change should be put in an envelope.
- A duplicate copy of the deposit summary should be kept in the departmental records

Blank manual receipts will be obtained from the Bursar’s Office, which will be standardized, sequentially numbered, and provide three copies. The completed receipts must include:

- Department name

- A dollar amount
- A description of the service or product
- Date
- Receipt number
- The name of the person paying for the transaction
- The signature of employee receiving payment

Register receipts must provide, but are not limited to, the following information:

- Date
- A dollar amount
- A receipt/transaction number
- A cashier identification number
- The name of the area in which the sale/service is provided

If a correction is made on a receipt, or if a receipt is voided, the following information must be clearly stated on the corrected or voided receipt:

- The correction or void
- The date
- Signature of the person making the change
- Reason for the change
- Signature of an approving manager or supervisor (the approval must be from a different person than the one initiating the correction)
- All copies of voided receipts (except the transmittal copy) should be kept together and filed for audit.

This info should be noted on the cashier log. See the paragraph below for information about the cashier log.

Whenever feasible, each department receiving cash or check payments should assign cash handling responsibilities to at least two employees to guarantee a separation of duties and control of cash receipts. One employee, the cash handler, should receive payments and issue a receipt to the customer at the point of sale or collection. This employee should maintain a cashier log to include the following information:

- Date of collection
- Receipt Number
- Total amount of funds collected
- Name of the cash handler
- Name of the depositor
- The date the funds were remitted to the Bursar's Office

A second employee, the depositor, should prove the funds and receipts, verify the amount to the cashier log, and prepare a daily cash report that is used as a transmittal form. The depositor should also record the date remitted and sign the cashier log. The depositor will complete a daily cash summary for each deposit with the following information:

- The date
- Department name
- Name of the person preparing the deposit
- A description
- Financial accounting system account number(s)
- The dollar amounts (total and by account number[s])
- Individual totals for cash, checks, credit cards, and over/short amounts

The daily cash report should be printed in ink for clarity and security.

All deposits are made intact, inclusive of any over/short amount. The amount over or short will increase (overage) or decrease (shortage) the cash over/short revenue account. The supervisor should investigate and document overages or shortages that have a value greater than \$5.00 or that are recurring.

All checks and U.S. Money Orders must be payable to Clayton State University and be payable through a U.S. Bank.

Employees outside the Bursar Office will not cash checks or use receipt funds as petty cash.

In the case of a loss of funds, or if a supervisor suspects irregularities in the handling of funds, the Bursar must be contacted who will then inform the Controller, Vice President for Business and Operations and Public Safety. The Vice President for Business and Operations will follow the institutions malfeasance reporting requirements. Within 5 working days from the time of occurrence, Public Safety must provide a report with the Vice President for Business & Operations giving a brief description of issue at hand. The Vice President for Business & Operations will make the determination if a report is required to be sent to the Board of Regents in accordance with BOR Policy.

Mail Receipts

One person should open the mail. Immediately upon receipt, the check should be restrictively endorsed with “For Deposit Only, Clayton State University”. Each department must have a stamp for endorsing checks. Payments accepted from the mail must be recorded in a daily log, clearly identifying the date received, name of payor, check amount, and received by information. After the payment is duly recorded in the daily log, then an official receipt for the payment must be created. The receipt may be generated using a computerized accounts receivable system, if

available. If a computerized accounts receivable system is not available, then a manual receipt should be issued. A copy of the daily log must be maintained in the Department/Administrative Office for a period of current year plus an additional three years. The customer copy of the receipt may be filed unless the payer has requested a receipt copy.

From Individuals

A receipt must be produced for all payments received.

All payments by check must be made payable to “Clayton State University”.

Acceptance of credit cards must be in accordance with all applicable institutional and banking requirements/regulations including those regarding retention of sensitive data. Credit cards may only be accepted in the Bursar’s Office, Bookstore, Cafeteria, Continuing Education Center, or through the institution’s web site.

Receipts from Coin-Operated Machines

It is the responsibility of all personnel who handle funds collected from institution owned coin operated machines to implement adequate procedures to ensure adherence to the requirements listed below.

- The machine should be kept locked at all times except when being serviced
- The key should never be left in the lock of the machine at any time
- The key holder should retain the key in their possession at all times, including overnight
- A duplicate key should be placed in a sealed envelope (signed and dated by the responsible person) and retained separately in the Bursar’s Office vault. If a foreseeable absence occurs, then the transfer of the key and responsibility should be noted and a signature obtained. If an unforeseeable absence occurs, then the use of the duplicate key by a nominated member of staff is permitted.
- All coin-operated machines are to have counters. Total receipts should be reconciled against the counter reading. All inoperative or inaccurate counters should be replaced immediately. Written records of the reconciliations should be maintained.
- Coin machines should be emptied by two people. The person counting the coins should not be the person reading the counters.
- Counter reading for each machine should be recorded and initialed by the person reading the meter.
- Receipts by machine should be counted and recorded. The person counting the coins should initial the recorded amount of receipts.

- All receipts should be deposited intact and in a timely manner
- Lockable security bags are required for storing and transporting the daily cash receipts to the Bursar's Office

There are coin-operated machines on campus that are owned and serviced by vendors under contract to Clayton State University, and therefore not subject to the requirements listed in this section. Clayton State University receives a commission on sales from these machines operated by private vendors. Goods stocked into these machines are verified by a Clayton State University employee for control purposes.

Receipts in the Bookstore

All sales in the Bookstore will be recorded using one of the cash registers. A cash register receipt will be given to each customer. All credit card transactions will also be accomplished using one of the cash registers and associated card reader.

Receipts in the Cafeteria

All sales in the Cafeteria are handled by a third-party vendor. A cash register receipt will be given to each customer. All credit card transactions will also be accomplished using one of the cash registers and associated card reader.

Deposits to the Clayton State University Bursar's Office

A daily deposit of all receipts must be made to the Clayton State University Bursar's Office. Daily Cash Reports must be generated by the department/administrative office to include:

- Department or administrative office name
- Date(s) payments were received
- Receipt numbers used (if applicable)
- Register Totals (if applicable)
- Credit card transaction totals (if applicable)

- Total amount to be deposited at the Bursar's Office
- Overages and shortages
- Accounts and associated amounts to be credited in the financial accounting system
- Signature of the person preparing the transmittal form

Copies of the daily cash reports must be retained in the department/administrative office for a period of three years.

The miscellaneous deposit form may be used for the daily cash report if the department does not have a computerized system that generates a report. The miscellaneous deposit form may be found at <http://www.clayton.edu/bursar/forms>.

Any differences discovered by the Bursar's Office should be noted on the transmittal form and initialed by both parties.

These Daily Cash Reports may be changed as required by the Vice President for Business & Operations. Departments needing changes made to the report should make their request to the Vice President for Business & Operations.

The completed daily cash report, copies of receipts or register tapes, and funds are taken to the Bursar's Office. Checks should be batched together with two adding machine tapes listing each check amount. Receipts should be batched together in numerical order with the two adding machine tapes attached. The receipt obtained from the Bursar's Office should be verified to the cashier log by the cash handler and retained with the cashier log. Supporting documentation and/or receipts should be kept and filed by each department.

Daily cash reports to the Bursar's Office should be made in person. Campus mail may **NOT** be used to deliver funds to the Bursar's Office. Any person transporting cash deposits should request a public safety officer accompany them from their office to the Bursar Office. The person making the deposit will be asked to remain in the Bursar's Office until verification of the funds has been made and the receipt for the funds has been issued. This receipt must be filed with the department's copy of the daily cash report.

The Bursar's Office Cashier will maintain a Reconciliation of Receipts for each department to assure that all receipts are accounted for. This requirement is in addition to the one previously noted for each department to maintain a file of receipts in numerical order to assure that all receipts are accounted for.

Depositing Cash into the Institution's Bank Accounts

Daily Deposit by the Bursar's Office

The Bursar's Office will prepare a daily deposit to include all receipts and transmittals from departments/administrative offices.

Supporting Documents Required

All supporting documents related to the deposit must be filed with a copy of the bank deposit. This will include all supporting documents received with the payments, copies of the Departmental/Administrative Office transmittal forms, etc.

Transportation of the Daily Deposit to the Banking Institution

The daily bank deposit will be transported to the bank by a commercial firm offering secure cash transportation services ONLY.

Processing Returned Checks

Clayton State University accepts payment by personal check and reserves the right to withdraw that privilege from anyone at any time. The university also provides a check cashing service to faculty, staff, and students in an amount not to exceed \$50.00 for faculty/staff and \$10.00 for students. A check given to the university that is returned by the bank unpaid immediately creates indebtedness to Clayton State University.

The processing of returned checks by Clayton State University is in accordance with Section 13-6-15 of the Official Code of Georgia and section 10.4 of the Board of Regents Business Procedures Manual.

If a check is returned due to a bank error, a letter is required from the payer's bank explaining the error. Once the letter is received, the returned check fee will be cancelled and the payer will be responsible only for redeeming the returned check.

Stopped payments are treated as any other returned check with identical consequences.

No partial payments on returned items will be accepted.

Returned Checks from Students

Upon receiving notification from the bank that a check has been returned, the cashier will execute the following steps:

- Attempts will be made by phone and email to instructors to advise the student of the returned check

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- A certified letter will be sent to the student advising that the check must be cleared within one week of receipt of the letter
 - A student's account will be placed on "hold" to prevent transcripts from being sent and to prevent registration for subsequent terms. The account will also be charged \$30.00 for a returned check fee.
 - If the indebtedness resulting from the returned check (including the returned check charge) is not cleared within ten days of receipt of the notice, the student will be dropped from class rolls, the student's registration will be cancelled for that term if it is before the end of drop/add.
 - The student will receive three (3) notices of collection effort in accordance the Board of Regents collections requirements.
 - If collection is not made within 30 days of a final demand letter (letter #3), the check will be turned over to the institution's collection agency for collection

Returned Checks from Employees

The employee's supervisor will be notified and asked to counsel the employee regarding the returned item. The employee is expected to make payment to the institution immediately for the amount of the returned check plus the returned check charge of \$30.00. Clayton State University may also withhold funds from the employee's wages until the amount owed Clayton State University has been recovered. A notice of intent to withhold must be sent to the employee by registered or certified mail, or personally delivered. The employee must respond with payment to the notice within 15 days to prevent the withholding process from being utilized.

Returned Checks from Other Individuals/Entities

All returned checks are subject to a returned check charge of \$30.00

If payment for the returned item and associated fees is not received by the due date, any pending services to the individual/entity will be suspended and the returned check will be turned over to the institution's collection agency for collection.

Accounts Receivable Policy and Procedures

According to Board of Regents Policy section 7.3.3, Tuition and Fee Payment and Deferral, "short term credit may be granted to students while waiting for financial aid funds or scholarship funds from third parties. This credit is granted only when a notice of award or a written agreement from a third party has been received. Students who have not paid or whose financial aid has not been affirmed by the "add/drop" date should be dropped from class rolls."

Student Accounts Receivable from Banner System

Student fees are assessed through the Banner Student Information System each term. If students do not pay assessed fees by published dates for payment, which is the end of drop/add period, all classes are dropped and the student is not allowed to attend. There is a week each semester following the first day of class for students to change their schedule and for some students to register late. All students that have not paid all assessed fees, or have financial aid awarded to pay fees, are dropped at the end of this late registration period. The following procedures will be followed to assure that timely payment of fees are made

- All student fees are payable in advance prior to the student attending any classes. Students with any balance due from a prior term will not be allowed to register for subsequent terms until the balance due is paid.
- All classes will be dropped at the end of drop/add period for those students who have not paid for all assessed fees and who do not have financial aid awards to cover assessed fees. The student will not be permitted to attend class.
- All classes may be dropped at the end of drop and add week each semester for those students who have not paid for all assessed fees and who do not have financial aid awards to cover assessed fees. A report will be run from the Banner system to indicate students with outstanding balances.
- After financial aid has been disbursed an additional list of students with outstanding balances will be run to indicate students with outstanding balances. These outstanding balances will include charges from the Bookstore.
- If a student's scholarship, loan, or other form of financial assistance is cancelled after the student has completed registration, the student will be notified of any amount due and given a maximum time of ten days to pay the outstanding balance. The student will be notified by mail of circumstances to include amount due and time that will be allowed for payment. Students will be notified of these outstanding balances first by email and letter. The student's account will have a hold placed on it and the student will not be allowed to enroll in future terms or receive transcripts until all financial obligations are met.
- The university will notify students who withdraw from all classes of outstanding balances according to guidelines for Title IV federal regulations.
- Students who have not paid outstanding balances created by scholarship or grant changes, by the end of the semester (or after time given for payment has elapsed) will have their accounts placed with the institution's collection agency for collection.

Other Receivables

The institution also grants credit by:

- Participating in state and federal agreements
- Participating in grant activities
- Operation of Auxiliary Enterprises
- Participating in agreements with the Clayton State University Foundation
- Participating in agreements with third parties regarding students' tuition and fees
- Providing benefits to retired employee's and COBRA participants
- Other contracts and agreements
- Charging fees and/or fines

Receivable accounts are maintained in the Banner Student Information System for all receivables, such as retired employees, COBRA participants, and third-party vendors. The cashier will post all receipts and apply charges to payments at least monthly. The cashier will maintain files for all third-party accounts and bill them each semester in a timely manner to ensure that full payment is received no later than the end of the semester. Students whose fees are to be paid by third parties will not be allowed to register for subsequent terms until all prior term fees are paid.

Collection of Receivables

Prompt billing is essential for effective management of receivables. Information must be maintained on the status of all unbilled accounts to ensure that all actions necessary for the preparation of the bill have been taken as required. The bill should be issued as expeditiously as possible, but no later than 20 days of last day of drop/add period.

After the bill is issued, information must continue to be maintained on the status of the account to provide information for collection efforts, should they be required.

Appropriate past due notices must be sent on overdue accounts. Section 10.7 of the Board of Regents Business Procedures Manual provides detailed instructions about the timing and content of these past due notices. Separate notices are provided for:

- Employees and the General Public (past due, interim, 3rd notice, and final notice)
- Student Bills (past due, interim, 3rd notice, and final demand letter)
- Bad Check Demand Letter

Uncollected amounts in excess of \$50.00 should be referred to a collection agency for collection when the account is 180 days overdue. See Section 10 of the Board of Regents Business Procedures Manual for further information.

University System Requirements in Analysis and Reporting of Receivables

The Board of Regents Business Procedures Manual, Section 10.6.2, states “An aged listing of individual receivable balances will be prepared at least quarterly and will reflect the results of billing and collection follow-up activity. Management above the level responsible for supervising the billing and collection follow-up function will review old dated balances. The Bursar’s Office in conjunction with the Accounting Office will ensure that subsidiary ledger records are reconciled to the control account balances at least monthly.”

Clayton State University is also required by the Board of Regents to submit an analysis of receivables to the Vice Chancellor for Fiscal Affairs every six months in accordance with the schedule published in the Board of Regents Business Procedures Manual Section 10.5.

Disposition of Uncollectable Accounts

State of Georgia and University System Policy

The Official Code of Georgia, section 50-16-18, provides state agencies with a mechanism for writing off debts of an immaterial nature owed to the state. The materiality threshold, as specified by the legislation, is “\$3,000.00 or less for the institutions of the Board of Regents of the University System of Georgia.”

The Board of Regents holds the institution responsible for the collection of receivables. Amounts not collected through routine follow-up should be referred to collection agencies. Presidents and Chief Business Officers are authorized to file actions in small claims courts for the collection of debts over which they had administrative control.

Generally, bills must be collected as expeditiously as possible, but the cost of collection must not be allowed to exceed the expected revenue.

Section 10.4 of the Board of Regents Business Procedures Manual provides detailed information about correct disposal of uncollectible accounts. Clayton State University complies with the Business Procedures Manual, and those steps will not be duplicated in this manual.

Clayton State University Accounts Receivable Write-Off Policy and Procedures

After procedures to collect amounts due to the university have been followed and it is determined that collection of remaining balances cannot be made, amounts outstanding will be considered for write-off on a quarterly basis. Items more than 120 days old should be reserved.

The following steps will be accomplished:

- The Collection Specialist in the Bursar's Office will prepare a listing of all student receivables by term to determine the age of all receivables. The Banner Student Information System process will be run to generate an aging list.

Each quarter, those receivables less than \$3,000 and at least 120 days old will be reviewed along with evidence showing that all steps have been taken to collect the outstanding balance.

- The Vice President for Business & Operations will approve receivables to be written off. A detailed listing of those approved will be prepared and signed by the Vice President for Business & Operations.
- The approved listing will be forwarded to accounting and a journal entry prepared to charge the uncollectable receivables to current year Allowance for Doubtful Revenue, account number 409998, fund 10500 for tuition and account number 498998, by fund. The allowance for doubtful accounts receivable, account number 121999, by fund, will be credited for the same amounts.
- Student accounts will remain encumbered and noted in the Banner Student Information System via a "Hold", indicating the amount due but reserved as a bad debt. If the balance is collected in the future, the amount collected will be receipted to allowance for doubtful revenue, account number 409998 or 498998, by fund, and the student's record cleared of the "Hold". The allowance for doubtful accounts receivable account will be debited and the student's account credited.

8.4 Cash Disbursing

8.4.1 Authority for Disbursing Cash

The Vice President for Business & Operations of Clayton State University is responsible for all cash management of the institution. Except for departmental purchasing cards and the use of petty cash funds, all cash transactions should be conducted by the Bursar's Office. Where departments or administrative offices have been delegated authority to collect funds for services/fines/etc., these funds must be turned in to the Bursar's Office in their entirety. Use of collected funds to pay bills, or to purchase goods or services, is strictly prohibited.

8.4.2 Documentation Required before Disbursing Funds

Travel of Employees

The content of this section is restricted to documentation required before disbursing funds for travel. Policy and procedures for travel of employees is contained in Section 15 of this manual.

Employees should fill out the paper Travel Authorization form and acquire approval from the department head or designated official PRIOR to the travel. The Travel Authorization must be included with each expense report. [Click here](#) to access this form. Please do not submit travel authorizations through the PeopleSoft Expenses Module at this time. Each travel authorization must be approved by the authorized department budget manager and other approvals as established. After all required approvals have been obtained, the funds for the estimated cost of travel are encumbered in the employee's department budget and the employee is notified of approval through a copy of the **Travel Authorization** form.

After travel has been completed, the employee initiates an expense report. The expense report is initiated via the Employee Self-Service module. Instructions for creating the expense report may be found at <http://www.clayton.edu/accounting-services/expenses/travel/howdoi/createatravelexpensereport>. A printed copy of the expense report, with all required receipts attached, must be submitted to the employee's supervisor for approval. Each expense report must be approved by the authorized department budget manager and other approvals as established. After all approvals are documented, the expense report is routed to the Accounting Services Office for reimbursement.

In cases where the prior approval denotes a pre-authorized amount, reimbursement will not exceed this authorization unless specifically approved by the department budget manager. Expense reports cannot be resubmitted at a later date or at year-end for additional reimbursement.

The expense report should be submitted as soon as travel is completed, and not later than one month of completion of the trip. Original receipts and cost comparisons must be sent to the Accounting Services Office to document expenses (for those expenses requiring receipts) prior to reimbursement being authorized. Upon matching the receipts to the expenses within the expense report, the Accounting Services Office will schedule reimbursement to the employee for the travel expenses. The reimbursement will be distributed to the employee by check or direct deposit according to the banking information entered in Payroll through ADP.

Normal Procurement

The normal procurement process begins with a requisition from the departmental level to the Procurement Office. The Procurement Office determines how to procure the goods and/or services. Normally, the goods/services are ordered by issuing a purchase order. The purchase order is issued from within the financial accounting system so a tracking record exists and the funds are encumbered. When the vendor ships the goods or provides the services, a receiving report is generated in the accounting system. The vendor sends the invoice directly to the Accounting Services Office, and the invoice is entered into the accounting system. Once the receiving report and the invoice are entered into the accounting system, the next matching process will approve the invoice for payment. The accounts payable operator has the ability to control the schedule date of the actual payment. Separation of duties is maintained because the entry of the order, the entry of the receiving report, and the entry of the invoice is accomplished by three different employees.

Procurement via Purchasing Card

Purchasing Cards are issued by the Clayton State University Procurement Office. Purchasing Cards are provided to the departments / administrative offices for the purpose of purchasing goods and/or services valued at \$5,000.00 or less, including shipping/handling charges, insurance, etc. The departmental budget manager is responsible for any and all charges made through the use of the card by designated person(s) in their department.

The documentation required in the Accounting Services Office before recording the charges for the purchasing card include the following:

- Statements from the banking institution (card processor)
- Actual receipts from the departments that made the purchases matched to the banking institution's statements and the departments activity log
 Note: The department activity log is used to record all purchasing card activity. The log records the date of the purchase, the vendor, a brief description of the procurement, the total dollar amount, and the account to be charged for the procurement.
- The summary report from the Procurement Office with totals by card holder and department
- The summary report from each card holder with proper coding

Miscellaneous Payments

There are many payments that do not fit the categories defined above. These miscellaneous payments may include:

- Remission of payroll deductions and payroll matching amounts to governmental agencies, vendors, or banking institutions
- Payment of continuing education honorariums
- Disbursement of funds from agency accounts as requested by the account custodian
- Reimbursement of petty cash funds

- Payment for the institution's telecommunications bills

The documentation required for any miscellaneous payment must certify that:

- The department or account being charged for the payment has approved the disbursement
- The disbursement is in agreement with any restrictions placed upon the funds being used for the payment
- Adequate separation of duties exist to prevent the same person from authorizing payment and actually executing the payment in the financial accounting system

8.4.3 Separation of Duties

Adequate separation of duties must be enforced to prevent unauthorized disbursements of institutional funds. Duties must be sufficiently separated such that one employee does not have the ability to order goods or services, document the receipt of the goods or services, and approve payment for the same goods and services.

Periodic supervisory review of disbursement journals must be accomplished as a precaution to prevent unauthorized procurement and/or payment activities.

8.5 Petty Cash

8.5.1 Purpose of Petty Cash

Petty Cash funds may be used to:

- Reimburse employees for small value purchases of postage, lab supplies, supply items, etc., upon receipt of invoices.
- Provide change to customers when they are paying for goods and services
- Provide cash for Book Store buy back of text books
- Provide change funds for book sales at off campus locations
- Provide check cashing service for faculty, staff, and students (Bursar's Office location only)

8.5.2 Restrictions on Use

- Reimbursement for small value purchases may not exceed \$50.00 without having prior approval of the Assistant Vice President of Budget and Finance/Controller.
- Reimbursement from state funded petty cash may not be processed for:

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- Items covered by state or institutional contracts
 - Entertainment
 - Travel Reimbursements (meals, lodging, transportation)
 - Per Diem and Fees, or other service payments
 - Gifts, awards, and prizes
 - Memberships
 - Personal check cashing and loans (personal checks of the custodian of the petty cash fund). Food, beverage, catering (unless funded by continuing education or other participant cost funding source)
 - Any other items that may not be purchased by the institution's purchasing department, such as alcoholic beverages.

8.5.3 Check Cashing Services

The Bursar's Office will cash checks for faculty, staff, and students utilizing the Petty Cash fund. The following policy will apply:

- Checks cannot exceed \$50.00 for faculty/staff and \$10.00 for students
- Only one check per day may be cashed
- Identification is required. Acceptable IDs are employee or student ID card or driver's license.
- There will be a \$30.00 charge for any check returned by the bank for any reason
- Faculty, staff, or students may lose check-cashing privileges if two returned checks are received from the bank
- The following types of checks will not be accepted:
 - Post-dated checks
 - Counter checks
 - Starter checks
 - Credit card checks
 - Third party checks

8.5.4 Petty Cash Replenishment

Petty cash custodians may request reimbursement by completing the **Petty Cash Replenishment Request** form. The form must be completed in full and signed by the Petty Cash custodian. The form may be found at <http://www.clayton.edu/bursar/forms>. The request must include:

- A summary of all charges by account number
- Supporting documents for each petty cash purchase

Upon verification of the form, signatures, and supporting documents, a check payable to the petty cash custodian will be issued for use in replenishing the petty cash fund.

Since departmental Petty Cash funds are maintained for making change only, Petty Cash Replenishment should not be required for departmental funds. Periodic replenishment will be required for the Bursar's Office Petty Cash fund.

8.5.5 Security Guidelines

Working petty Cash Funds must be held in a locked cash drawer or a locked cash box with the primary key retained by the custodian and a secondary key retained by the supervisor for emergency purposes.

Funds must be kept in a secure location at all times, preferably a locked drawer, safe, or file cabinet. They must be secured each time the custodian leaves the office. The custodian and the department head may be held jointly liable for uninsured losses that occur as a result of negligence.

The total amount of the petty cash fund should always equal the cash on hand plus any unreimbursed amounts. The unreimbursed amounts must be documented by completed Petty Cash Reimbursement Requests. Shortages must be reported to the Vice President for Business & Operations.

Unannounced cash counts should be performed quarterly by someone other than the custodian. The individual should be selected by the Vice President for Business & Operations, preferably not the same person each quarter. The cash count should be recorded on the **Clayton State University Petty Cash** form. The person completing the form should make an annotation stating "Unannounced cash count completed (date) by (signature of person completing the count). The completed forms should be retained in a departmental file.

Unannounced cash counts may be performed by fiscal office staff. Account balance verification will be performed at year-end by the Bursar's Office.

Department Petty Cash "Change Funds" should be counted daily and documented on the **Clayton State University Petty Cash** form. <http://www.clayton.edu/Portals/8/docs/request-petty-cash-form.pdf>

Petty Cash Funds must always be kept separate from other cash receipts.

8.5.6 Reporting and Notification Requirements

Theft or Loss

In the event of a theft or loss of Petty Cash Funds, the custodian should immediately notify the Bursar and the Vice President for Business & Operations. The Vice President for

Business & Operations will make a determination if the theft or loss should be reported to the Board of Regents in compliance of the Employee Malfeasance Policy.

Departure/Termination of the Custodian

Upon departure/termination of the custodian, keys to the secured petty cash area must be returned to the supervisor. The supervisor must notify the Bursar of the departure/termination.

A final count and submission of replenishment should occur prior to the new custodian assuming responsibility.

8.5.7 Purchasing Small Value Items via Petty Cash

Purpose and Regulations

Use of Petty Cash for purchase of small value items is authorized by the Purchasing Division of the Department of Administrative Services, and further delegated by the CSU Procurement Services Department. Departments may make direct purchases from suppliers for immediate needs using Petty Cash **when the use of the department's purchasing card is not accepted**. Direct purchases to be reimbursed from Petty Cash may only be made when payment-in-full is made at the initial point of delivery. The payment may be made by an employee using personal funds (to be reimbursed from Petty Cash) or by using funds advanced from the Bursar's Office petty cash fund. The use of personal funds is discouraged, but CSU recognizes that in some instances this is the most expedient method of procurement. The CSU Procurement Services Department has jurisdiction over the purchasing aspects of this system, while the Bursar's Office has control over the reimbursement process.

Cash purchases **are** subject to State Purchasing, University System of Georgia, and Clayton State University regulations. It is the responsibility of the department's budget manager and the employee making the purchase to be familiar with the regulations governing these purchases.

Departmental Petty Cash Funds are established upon request to the Bursar's Office. The Petty Cash funds are for making change from sales, programs, fines or fees related to the department. Departments not having Petty Cash Funds may utilize the Petty Cash Funds managed by the Bursar's Office.

Payment of Sales Taxes

Tax must not be paid to the supplier. A **CSU Sales and Use Tax Certificate of Exemption** should be presented to the vendor at the time of purchase. If the vendor will not honor the **CSU Sales and Use Tax Certificate of Exemption**, then the purchase should not be made.

The **CSU Sales and Use Tax Certificate of Exemption** may be found at <http://www.clayton.edu/procurement/procurementforms>.

Advances from Petty Cash Funds

Payment to the supplier for the petty cash purchase may be made by cash from personal funds or in cash from funds temporarily withdrawn from the Bursar's Office Petty Cash Fund. To temporarily withdraw funds from the Petty Cash Fund, the person that will be making the purchase must complete appropriate documentation as determined by the department's (or Bursar's) Petty Cash Custodian.

Reimbursement Procedures

Upon completion of the purchase, a completed **Request for Petty Cash** form with the box indicating "Petty Cash/Reimbursement" checked with the following information must be presented to the Petty Cash custodian in the department or the Bursar's office:

- Appropriate accounting distribution
- Signature of the individual authorized to approve departmental purchases
- Signature of the individual purchaser
- An attachment of the vendor's customary receipt that includes:
 - Vendor name
 - Date of purchase
 - Items purchased
 - Price per item
 - Total price

Upon verification of the completed form and receipt(s), the petty cash expenditure will be reimbursed by the petty cash custodian. If a petty cash advance had been obtained for this purchase, then the resulting net cash amount will either be returned to the Petty Cash Fund or to the individual as appropriate. The advance form and the **Request for Petty Cash** form will be retained by the petty cash custodian, and will become part of the filed documentation of the petty cash fund.

The **Request for Petty Cash** form may be found on the CSU web site at <http://www.clayton.edu/bursar/forms>.

8.6 Bank Account(s) for General Operations

Clayton State University has one operating bank account, which is used for all non-payroll cash transactions. Payroll operations are accomplished by ADP (Automatic Data Processing, Inc.) through a contract with the University System of Georgia. As payrolls are generated, ADP initiates a wire transfer from the university's payroll bank account to the ADP account to cover the cost of the payroll.

9.0 Consultants (Individuals, Companies, and Corporations)

Introduction:

There are occasions where Clayton State University will temporarily require the services of consultants to provide skills, services, or leadership that is not available from the normal faculty and staff of the university. This section provides information on the utilization of Consultants.

Topics in this section include:

- ❑ Overview of Consultants
- ❑ Use of Consultants
- ❑ Policy
- ❑ Contract Preparation and Approval
- ❑ Payment Procedures
- ❑ Reporting

The use of consultants is strictly regulated by the Department of Administrative Services, State of Georgia, and by the Board of Regents. Consultants working at or traveling to Clayton State University will be under contract to the university. All such contracts must be go through the contract review process found at <http://www.clayton.edu/contract-administration/home> and be approved by the Vice President for Business & Operations before the consultant may begin travel or delivery of services.

9.1 Overview of Consultants (Individuals, Companies, and Corporations)

A consultant or contractor is a firm or an individual offering professional or specialized services for a fixed rate or fee. The university only controls the direction of the consultant's work with respect to work objectives and desired results. The university does not control the method for achieving the results.

Firms and corporations that are in business to offer and sell their services to the public are clearly independent contractors. When the university is required to make payments to

individuals, the rules and regulations of a number of governmental regulatory bodies must then be considered. A determination must be made to ensure that payments to individuals for services clearly meet the IRS definition of Independent Contractor. The regulations of the Internal Revenue Service and the Immigration and Naturalization Service (with respect to Non-Resident Aliens) and the State of Georgia and university must be followed.

A consultant should be used only when the services are not readily available from existing employees or where the services cannot be performed more economically or satisfactorily through the university employment process.

Any individuals who perform services for the university are employees unless the relationship satisfies the IRS standards for Independent Contractor. Further discussion of this determination is provided in section 9.2.1 below.

9.2 Policy

9.2.1 Classification of Independent Contractors versus Employees

Financial obligations incurred by the university for employees is clearly different than the obligations incurred for independent contractors. The university is responsible for the payment and/or withholding of federal and state unemployment taxes, FICA, income taxes, and related payroll benefits for those individuals where an employee/employer relationship exists. Independent contractors are responsible for their own liabilities.

The department head of the department seeking to hire the consultant working with Human Resources must make the determination of independent contractor versus employee. Section 5.5 of the Board of Regents Business Procedures Manual provides extensive guidance that may be utilized in determination of status (employee versus independent contractor). In addition, the following questions may be helpful. If the answer to any of the following questions is “yes”, then it is highly likely that the individual cannot be treated as an Independent Contractor.

- Does the individual provide essentially the same service as an employee of the university?
- Is the individual a current employee (or former employee within the previous 12 months) of the university providing the same or similar services?
- Is it expected that the university will hire this individual as an employee immediately following the termination of his/her services as a consultant?
- Does the university control how the individual will perform or accomplish the service?

- Will the individual supervise or control university employees in accomplishing the service?

If any of the above questions are answered as “yes”, please consult the Office of Human Resources for assistance in determining the status of the individual.

9.2.2 Types of Consultants

Instructors or Lecturers (Non-Faculty)

Individuals providing a service to the university as Continuing Education speakers or other short-term instructors may be handled as independent contractors or employees depending upon the determination as indicated in Section 9.2.1 above. Generally, if the instructor or lecturer is to teach a short course (less than two weeks, i.e., conference/workshop), and the university does not anticipate using the instructor/lecturer for additional courses, then the individual may be classified as an independent contractor. Section 5.5 of the Board of Regents Business Procedures Manual has extensive tests and conditions for determining classification of employees vs. independent contractors, and should be utilized when making a determination of classification. Contact the Department of Human Resources for appropriate procedures for payment as an employee, and for assistance in determination of classification.

Honorariums

Overview

An honorarium is a one-time payment for short-term services where the university does not expect a particular result. Nonresident Alien individuals may receive honorarium payments with a J-1, B-1, or B-2 visa. Most other visas do not permit honoraria or other service payments.

- Honorariums must be paid to individuals and not to companies or organizations
- Honorariums may not be paid to Clayton State University employees including student employees
- The limitations discussed in Section 9.2.5 regarding State of Georgia employees or employees of other university system institutions applies to payment of honorariums.

When to Use

- An honorarium must be paid for services provided and not used to make an award
- The service provided is one where Clayton State University does not expect a particular result. Examples include:
 - Guest lecturers
 - Presentation of research results
 - Reading of papers

- Participation or leading of colloquiums, workshops, and seminars
- Presentation of lecturers

The services provided must be short-term in length. Short-term is defined as less than two weeks from start date to end date (no matter the length of service between). Services over a longer period of time may not be classified as an honorarium.

Services vs. Expenses

- The amount of the honorarium may include payment for services along with an amount intended to cover travel expenses
- Amount for services (honorarium) may be paid and expenses reimbursed with appropriate receipts. Payment of honorarium and expenses should be requested at the same time and on the same request. A written request from the individual/consultant must be received and matched with the purchase order before payment may be processed. The written request must also have the requesting department's approval prior to processing. If this is the first payment to this individual, a W-9 and **Vendor Set Up** form must also be completed. This form may be accessed from the web site at <http://www.clayton.edu/portals/3/docs/W-9-Vendor-Set-Up-Form.pdf>.

Documentation Requirements

- Honorariums must be described in a contract approved by the Vice President for Business & Operations before the service is provided
- An official announcement, invitation letter, flyer, etc. must accompany the request for payment of the honorarium
- Receipts for travel expenses, if claimed separately, should be submitted with a Travel Expense Statement
- The individuals current mailing address and tax id number must be provided
- If the individual is affected by the limitations outlined in Section 9.2.5 (State of Georgia Employee or Employee of another USG Institution), a statement is required to certify compliance with the conditions in Section 9.2.5.

Professional Services

Professional services are defined by Official Code of Georgia §14-7-2 as follows:

Professional means the profession of certified public accountancy, architecture, chiropractic, dentistry, professional engineering, land surveying, law, psychology, medicine and surgery, optometry, osteopathy, podiatry, veterinary medicine, registered professional nursing, or harbor piloting.

As explained in the Board of Regents Business Procedures Manual, section 3:

Generally, professionals that are certified in their fields can be hired non-competitively to do work in the certified field for which they are specifically licensed. Examples include:

- A CPA may be hired to provide accounting services, but not management consulting without a competitive process.
- An architect may be hired to design a building, but may not develop a campus plan without a competitive process.

9.2.3 Exemptions from Competitive Bid Process

Professional Services

As explained above, professionals that are listed in the Official Code of Georgia §14-7-2 can be hired non-competitively to do work in the certified field for which they are specifically licensed. If the professional is not listed in OCGA §14-7-2, then the procurement of services must be competitively bid or a justification made for the use of sole source procurement. DOAS has further specific services that are exempt from the competitive bid process also. The classification of “Consultants” has been exempted from the competitive bid process by DOAS.

Sole Source Procurements

There are circumstances where only one provider has the unique combination of experience and/or qualifications to perform the task. In addition to the normal requisition for services that is submitted to start the procurement process, a justification must be provided for dealing directly with one vendor for the procurement. The justification must be on a **Sole Source Justification** form. Such procurements must be posted on the DOAS registry if \$25,000 or more to make potential vendors aware of the need. Contact the CSU Procurement Services Department for assistance with sole source justification.

9.2.4 Determination of Status – Employee versus Independent Contractor

IRS regulations and possible resulting penalties make it imperative that Clayton State University correctly identify whether certain personal service arrangements create an employer/employee or an independent contractor relationship. Generally, if the university determines the time, place, and manner of complying with instructions, provides supervision, provides the place of work, and makes periodic payments then an employer/employee relationship may exist. Section 5.5 of the Board of Regents Business Procedures Manual provides extensive documentation on this subject with an easy to use chart for determining whether a person is considered an employee or an independent contractor. Additional guidance on this subject may be obtained from Human Resources.

9.2.5 Limitations on using State of Georgia Employees or Employees of Other Institutions

State of Georgia Employees

Official Code of Georgia §45-10-25 restricts the utilization of State of Georgia employees as consultants to the following:

- Chaplain
- Fireman
- Any person holding a Doctoral or Master's degree from an accredited college or university
- Physician
- Dentist
- Psychologist
- Registered Nurse
- Licensed Practical Nurse
- A Certified Oral or Manual Interpreter for Deaf Persons

For payment to a State of Georgia employee, the following must be provided:

- Certification from the requesting department documenting the need for services and why the best interest of the State will be served by obtaining such services from a person presently employed by the State.
- Certification by the department, agency, etc. employing the payee that the performance of such services will not detract or have a detrimental effect on the performance of employee's full-time employment. This certification may be by letter, and should state the employee (by employee's name) is available to perform the specified services and that the performance of such services will not have a detrimental effect on his/her full-time employment. This certification should be signed and dated by the employee's supervisor as well as the agency head/CEO.
- Agreement of procedures for performance of additional services, classification and compensation.
- Payment may be made directly to the employee from Clayton State University.
-

Employees of another University System of Georgia Institution

If the payee is an employee of another University System of Georgia institution, the rules governing "Joint Staffing" outlined in the Board of Regents Business Procedures manual section 5.3.3 must be followed. The **Employee Compensation Agreement** form must be completed and submitted to the employee's supervisor and the President for approval. The completed **Employee Compensation Agreement** form allows the employee's home institution to pay him/her via payroll procedures with Clayton State University providing reimbursement to the employee's home institution. The **Employee Compensation Agreement** form is available at the following website: http://www.usg.edu/business_procedures_manual/documents/employee_compensation_agreement.pdf.

9.3 Consultant Contract Preparation and Approval

The preparation and approval procedures described below apply for general contracts used for Consultants. They do not apply to Public Works Contracts. Public Works Contracts are subject to policies of the Board of Regents. They are generally funded through the Georgia State Finance and Investment Commission (GSFIC) or by State Appropriations for capital facility repair and rehabilitation. Contract preparation and approval for Public Works Contracts is not within the scope of this section

As of July 1, 2013, Senate Bill 160 amends O.C.G.A. 13-10-91(b) (1) that requires any contract with a state agency for labor or services in excess of \$2,499.99 must submit a signed and notarized affidavit(s) on standard forms attesting to their compliance with the terms of the federal work authorization program (also known as E-Verify), or state a specific exemption from this requirement.

Clayton State University uses a standard contract available to fit all circumstances, except Public Works Contracts. A standard “Contracted (Consultant) Services Agreement” form is available. This form may be found at <http://www.clayton.edu/Portals/535/docs/standard-contract.pdf>.

If the “Contracted (Consultant) Services Agreement” form does not conform to the requirements for the proposed contract, then the form should have a scope of work added.

The Vice President of Business & Operations is responsible for ensuring that the business interests of the university are protected in the terms and operations of proposed agreements, and is also responsible for determining that the university complies with all provisions of contracts, grants, or agreements with individuals, companies, or agencies external to the university.

All contracts entered into in the name of The Board of Regents of The University System of Georgia, by and on behalf of Clayton State University are subject to the Policies and Procedures of the State Board of Regents. Many contracts are also subject to State Purchasing regulations and to statutory constraints on contracts entered into by State Agencies.

No member of the university, faculty, or staff may sign a contract without specific authorization from the President. The Office of the Vice President of Business & Operations is responsible for approving and signing all contracts, agreements, and memorandums of understanding for over \$2,500.00.

Applicable contracts, agreements, and memorandums of understanding must be accompanied by a completed Clayton State University Contract/Agreement/MOU Review Process and Routing form along with any applicable affidavits. This form may be found at <http://www.clayton.edu/Portals/15/docs/contract-routing-form-10-25-12.pdf>.

A further explanation of contract review, along with a listing of certain exemptions from the review process, may be found at <http://www.clayton.edu/contract-administration>.

The proposed contract along with the review process and routing form should be sent to the Office of the Vice President for Business & Operations after the form has been approved by the Dean, Director, or Department head.

The contract reviewer will provide feedback directly to the university's contracting party within 5 business days. All changes to the proposed contract must be approved by the contract reviewer before the contract may be executed. Specific instructions are provided on the review process and routing form for contract execution.

9.4 Payment Procedures

9.4.1 Account Numbers

Account numbers to be used on payments to consultants will be charged to the series of accounts defined as "Per Diem and Fees". A list of standardized account numbers to be used is published in the Board of Regents Business Procedures manual in section 2, and is included in the section below. These proper account numbers must be referenced in any payment request.

9.4.2 Reimbursable Expenses

Payments for itemized expenses may be paid only to the consultant. The method for reimbursements must be specified in the consultant's contract for services. Travel reimbursements may be made based on state travel regulations, federal per diem rates, or an alternate basis as agreed upon in the consulting agreement. The department head is responsible for determining if charges for reimbursable expenses are proper and reasonable.

All reimbursable expense items must be supported by receipts or adequate itemization and certifications.

9.4.3 Requests for Payments to Consultants

Prior to the first payment being processed to the consultant, an IRS W-9 form must be completed by the contractor. The IRS W-9 form will provide information for use by accounts payable in completing the Vendor Set Up form. The IRS W-9 along with the Vendor Set Up form can be found at <http://www.clayton.edu/portals/3/docs/W-9-Vendor-Set-Up-Form.pdf>.

The completed IRS W-9 form must be sent to the Accounts Payable Department before any payment can be processed.

The vendor should provide an invoice for services rendered. The department should approve the invoice after auditing to ensure compliance with the contract, and send the approved invoice to Accounting Services for payment. The account numbers to be charged for the fee should be selected from the following list:

- 751101 Architect
- 751102 Attorney
- 751103 Consultant
- 751104 Engineer
- 751105 Physician
- 751106 Interpreters
- 751107 Veterinarian
- 751108 Honorariums/Speakers
- 751109 Information Technology Consultant
- 751110 Other Per Diems
- 752100 Reimbursable Expenses

9.5 Reporting

9.5.1 Reporting to the IRS and Consultant

All payments to non-employees (excluding reimbursable expenses and payments to corporations) totaling an aggregate of \$600.00 or more will be reported to the IRS on form 1099.

9.5.2 Reporting to the Georgia Department of Audits and Accounts

The Georgia Department of Audits and Accounts is required by state law to compile an annual listing of amounts paid for “Per Diem and Fees”. Clayton State University is required to submit an electronic report on an annual basis after the close of the fiscal year to the Department of Audits and Accounts to facilitate the production of this annual listing.

10.0 Environmental Health and Safety

Introduction:

This section deals with environmental health and safety. Safety on the campus of CSU requires the participation of all faculty, staff, and students. Our goal is to have the campus community work, learn, and socialize safely

Topics in this section include:

- ❑ Responsible Department for promoting Environmental Health and Safety
- ❑ Environmental Health and Safety Web Site
- ❑ Significant Components of Environmental Health and Safety
- ❑ Obtaining Training and Information

10.1 Responsible Department for Promoting Environmental Health and Safety

The administrative department responsible for promoting environmental health and safety at Clayton State University is the Office of Environmental Health and Safety. The office is a department within the Division of Operation Service, a part of Business & Operations, and works in conjunction with Facilities Management, Department of Public Safety and the College of Arts & Sciences. The office may be contacted by phone at (678) 466-4250.

The Department of Environmental Health and Safety provides management services to the colleges and departments of Clayton State University for environmental health, safety, and regulatory compliance. The department helps the faculty, staff, and students develop and implement programs, including training, emergency preparation and safety, and analysis of specific environmental problems.

10.2 Environmental Health and Safety Web Site

The Environmental Health and Safety Web Site may be found at <http://www.clayton.edu/ehs>.

The web site provides information on:

- The Purpose of Environmental Health and Safety
- The Public Employee Hazardous Chemical Protection and Right to Know Act of 1988
- An online Right to Know training program
- OSHA training site for basic first aid, pesticide handling, back injury prevention, forklift and tractor safety, and protective clothing
- Board of Regents environmental health and safety training
- Georgia Department of Administration-Training for Risk and Loss Management

The web site also provides links to the following:

- Environmental Management System (EMS)
- Hazardous Chemical Communication Plan
- Spill Prevention
- Lab Safety
- Blood Bourne Pathogen
- Hazardous Waste Management
- Universal Waste Management
- Aerosol Cans
- Contaminated Rags/Towels

- Contingency Plan – Hazardous Materials
- Emergency Quick Reference Guide
- Property Risk Management
- Comprehensive Loss Control Program
- Campus Contacts
- Materials Recycled
- Campus Sustainability
- Home Recycling
- Solvent Usage Policy

10.3 Significant Components of Environmental Health and Safety

10.3.1 Environmental Management System (EMS) Manual

The manual is designed to serve as a guide to the Environmental Management System (EMS) and all of its related components. The manual may be accessed via link from the Environmental Health and Safety site at <http://www.clayton.edu/ehs/home>. The manual is a PDF file, and may be saved or printed. The manual provides an understanding of CSU's environmental requirements and the tools available to meet those requirements. Clayton State University's faculty, staff, and students should read the manual to assist them in complying with environmental requirements and good practices.

10.3.2 Hazardous Chemical Communication Plan

In order to comply with the Georgia Public Employees Hazardous Chemical Protection and Right to Know Act of 1988 as amended, Georgia Department of Labor Chapter 300- 3-19 Public Employee Hazardous Chemical Protection and Right to Know Rules, and the University System of Georgia Hazardous Chemical Protection Communication (Right to Know Plan), this written Hazardous Chemical Protection Communication Plan is established for Clayton State University.

This information is provided for compliance with the rules/regulations stated above to ensure the safety of all Clayton State University employees who work with hazardous chemicals in their work areas.

The Hazardous Chemical Communication Plan may be accessed via link from the Environmental Health and Safety site at <http://www.clayton.edu/ehs/home>.

10.3.3 Spill Prevention

Preventing spills is the best way to protect your health and the environment from exposures to oil. Clayton State has implemented a Spill Prevention Control and Countermeasures (SPCC) Plan as required by the regulations of Title 40, Code of Federal Regulations, Part 112 (40 CFR Part 112). The Plan is used as a reference tool for oil storage information, preventing and responding to discharges, facility inspections, and a resource for emergency response.

The Spill Prevention information may be accessed via link from the Environmental Health and Safety site at <http://www.clayton.edu/ehs/home>.

10.3.4 Lab Safety

Working safely in a laboratory requires having the proper containment equipment and engineering controls, wearing appropriate personal protective equipment, using proper work practices, knowing safety information for the materials and equipment used, and following safety instructions and laboratory protocols.

The Lab Safety information may be accessed via link from the Environmental Health and Safety site at <http://www.clayton.edu/ehs/home>.

10.3.5 Bloodborne Pathogens

In the event of exposure to any type Blood Borne Pathogen, the following guidelines on the below reference website should be followed. Generally, these guidelines include removal of the substance, seeking first aid treatment, completing a report in the Office of Public Safety, and reviewing treatment options with health care providers at CSU's Nurse managed Clinic.

The Bloodborne Pathogen information may be accessed via link from the Environmental Health and Safety site at <http://www.clayton.edu/ehs/home>.

10.3.6 Hazardous Waste Management

The Georgia Environmental Protection Division (EPD) has implemented rules that establish policies, rules and standards to implement the Georgia Hazardous Waste Management Act, O.C.G.A. 12-8-60, et seq. Clayton State University complies with the requirements of this act.

The Hazardous Waste Management information may be accessed via link from the Environmental Health and Safety site at <http://www.clayton.edu/ehs/home>. These links provide information about training and management of hazardous waste.

10.3.7 Universal Waste Management

In 1995, The Georgia Department of Natural Resources Environmental Protection Division (EPD) and the United States Environmental Protection Agency (EPA) developed and streamlined hazardous waste management requirements for collecting and managing certain widely generated hazardous waste by creating a “Universal Waste” category.

These requirements are designed to:

- reduce the amount of hazardous waste items in the municipal solid waste stream
- encourage recycling and proper disposal
- reduce regulatory burdens on entities that generate these wastes

All employees who handle or have responsibility for managing universal waste must be informed and trained as to the proper handling and emergency procedures appropriate to the type(s) of universal waste.

The Universal Waste Management information may be accessed via link from the Environmental Health and Safety site at <http://www.clayton.edu/ehs/home>. These links provide information about training and management of universal waste.

10.3.8 Contingency Plan – Hazardous Materials

The contingency plan provides emergency information that would be needed in the event of a chemical emergency, including fire, explosion and spill, at Clayton State University (CSU). This Contingency Plan has been provided to organizations in the Clayton County area that could be involved in rendering services during a chemical emergency situation on campus.

This Contingency Plan is designed to minimize hazards to human health and the environment from fires, explosions, or any unplanned sudden or non-sudden release of hazardous materials to the air, soil, or surface water.

The Contingency Plan – Hazardous Materials information may be accessed via link from the Environmental Health and Safety site at <http://www.clayton.edu/ehs/home>. The site provides:

- A link to an Emergency Quick Reference Guide

- A link to the Spill Prevention, Control, and Countermeasures (SPCC) Plan
- A directory of responders with phone numbers
- Locations of hazardous waste accumulation areas
- Inspection requirements for accumulation areas

10.3.9 Emergency Quick Reference Guide

The Emergency Quick Reference Guide provides extensive procedures for dealing with the following categories of emergencies:

- Bomb Threats
- Civil Disturbance
- Earthquake/Structural Collapse
- Evacuation
- Fire or Explosion
- Hazardous Material Spills
- Human Bodily Fluids – Bloodborne Pathogens
- Lockdown – Room, Building, or Campus
- Medical Emergency
- Power Outage
- Suspicious Packages & Envelopes
- Tornado/Hurricane/Severe Weather
- Emergency Telephones

The Emergency Quick Reference Guide may be accessed via link from the Environmental Health and Safety site at <http://www.clayton.edu/ehs/home>, and the Emergency Management Plan located in the office of the Department of Public Safety.

10.4 Obtaining Training and Information

10.4.1 On-Line Training for Right to Know

All Clayton State University employees are required to take an online Right to Know training program through their employee orientation process. The online training program is designed to educate USG employees on the importance and benefits of properly recognizing and safely working with hazardous materials.

Employees can receive this online training by going to: <http://www.usg.edu/ehs/training/rtkbasic/>.

10.4.2 OSHA On-Line Training

OSHA training site for basic first aid; pesticide handling; back injury prevention; forklift and tractor safety; and protective clothing can be found at: <http://www.free-training.com/osha/Soshamenu.htm>.

10.4.3 Board of Regents Training

Board of Regents environmental health and safety training may be found at <http://www.usg.edu/ehs/training/video/> and <http://www.usg.edu/ehs/training/>.

10.4.4 Additional Training Programs

The Georgia Department of Administration provides Training for Risk Management Services and Loss Management Services at the following links:

Reducing Strain and Sprain Injuries
Reducing Slips, Trips and Falls
Lifting Techniques
Bloodborne Pathogen Factors Review

10.4.5 Emergency Preparation

The Emergency Quick Reference Guide may be accessed via link from the Environmental Health and Safety site at <http://www.clayton.edu/ehs/home>, and the Emergency Management Plan located in the office of the Department of Public Safety.

The Emergency Quick Reference Guide covers:

- Bomb Threats
- Civil Disturbance
- Earthquake/Structural Collapse
- Evacuation
- Fire or Explosion
- Hazardous Material Spills
- Human Bodily Fluids (Bloodborne Pathogens)
- Lockdown (Room, Building, or Campus)
- Medical Emergency
- Power Outage

- Suspicious Packages & Envelopes
- Tornado/Hurricane/Severe Weather
- Emergency Telephones

Faculty, staff, and students are encouraged to familiarize themselves with the information contained in the Emergency Quick Reference Guide so that they are able to quickly find the information needed when an emergency does occur.

10.4.6 Other Information Available

Safety Data Sheets

Safety Data Sheets for chemicals used in or purchased by a department are available in the department. In addition, copies of these Safety Data Sheets for chemicals may be obtained from the Environmental Health and Safety Office. The Department of Public Safety also maintains a file of Safety Data Sheets for chemicals in Edgewater Hall.

Other Information

The following topics may be accessed via link from the Environmental Health and Safety site at <http://www.clayton.edu/ehs/home> providing additional information for these subjects. All Faculty, Staff, and Students are encouraged to review all topics.

- Aerosol Cans
- Contaminated Rags and Towels
- Materials Recycled
- Campus Sustainability
- Home Recycling
- Solvent Usage Policy

11.0 Facilities Management

Facilities Management creates and maintains Clayton State University's physical resources to provide a healthy and safe educational environment for the campus community through our services below by the following departments: Physical Plant Operations, Business Operations and Planning and Design.

Organizational Structure of Facilities Management

The actual organizational chart of Facilities Management may be found online at <http://www.clayton.edu/Portals/543/docs/Facilities%20Management%20Org%20Chart%20may%202022,%202013.pdf>. This chart displays the titles and names of the various directors and managers within the organization.

Our Services

- Administration of Outsourcing Contracts (pest control, elevator inspections, boiler inspections, fire suppression system, etc.)
- Asset Management
- Building Services/Custodial and Facilities Compliance
- Carpentry Repair Services
- Central Receiving Operations
- Contract Management
- Disposition of Surplus Property, including Electronic Devices and Equipment
- Emergency Services: Inclement weather, power outage, gas leak, flood, roof leak, water leak, broken storm water covers
- Event Setup and Furniture Moving
- Extended Services (semester preparedness, safety walks, building inspection walks, roof inspections)
- Facilities Modification and Space Request Form
- Fleet Management
- Heating, Ventilation, and Air Conditioning Work
- How to Request Services
- Interior and Exterior Electrical Work

- Interior Design Services and Furniture Procurement
- Key Issuance and Locksmith Services
- Leadership and assistance in development of campus master plans, as well as the University's Capital Implementation Plan
- Mailroom Operations and Campus Mail Delivery Service
- Masonry Services
- Monitoring the Design and Construction/Renovation of Facilities
- Painting
- Plumbing
- Preventative Maintenance
- Project Planning and Administration
- Property and Inventory Control
- Recycling
- Repair, Maintenance, and Operation of Campus Buildings
- Trash Removal
- Vehicle Rentals
- Work Order - You are requesting work to be done by Facilities

Departments

The following departments within Facilities Management are responsible for providing the above services, and their responsibilities are described below:

11.1 Physical Plant Operations

Darren Thomas is the Director of Physical Plant Operations, reporting to the Assistant Vice President of Facilities Management. The responsibilities of Physical Plant Operations include maintaining 186 acres of landscape and 24 buildings, consisting of 726,510 sq. ft., the infrastructure of the main campus and satellite facility Lucy C. Huie Hall. Physical Plant Operations is dedicated to supporting the University's core mission of education and enlightenment by ensuring the proper operation of the support functions of the University. The purpose is to preserve the assets of the University and to support the University's Mission by providing project management, design input, estimating projects, bidding projects, construction administration and capital project planning.

Department staff keeps all operating systems in proper working condition by having a detailed preventative maintenance plan, an ongoing deferred maintenance plan and responding to the repair needs of the campus community. Physical Plant Operations provides the following services:

- Building Services
- Landscape Management
- Building Operations
- Warehouse Services

The following associates report to the Director of Physical Plant Operations:

Name	Title	Contact Information
Ervin Bennett	Assistant Director of Building Services and Facilities Compliances	ErvinBennett@clayton.edu (678) 466-4248
Justin Brooks	Assistant Director of Landscape Management	JustinBrooks@clayton.edu (678) 466-4255
Michael Campbell	Manager of Building Operations	MichaelCampbell@clayton.edu (678) 466-4253
Mohammad Khan	Manager of Building Operations	MohammadKhan@clayton.edu (678) 466-5489
Kenneth Daniels	Warehouse Operations and Buyer	KennethDaniels@clayton.edu (678) 466-4247
Laura Peoples	Office Services Administrator	LauraPeoples@clayton.edu (678) 466-4240

11.2 Building Services Responsibilities

Ervin Bennett is the Assistant Director of Building Services and Facilities Compliances, reporting to the Director of Physical Plant Operations of Facilities Management. The Building Services and Facilities Compliance department is responsible for the overall cleanliness of 627,739 square feet of interior spaces of main campus and satellite facility (Lucy C. Huie Hall). Each building has workers assigned to perform the scheduled routine duties: maintain the appearance of offices, classrooms, hallways, laboratories, lobbies, lounges, elevators, stairways and restrooms by performing housekeeping duties; such as dusting, vacuuming, sweeping, wet moping, scrubbing, waxing floors, carpet cleaning, and trash removing.

Cleaning and trash removal are performed on a daily basis. Hard floors are stripped and refinished, carpeted floors are shampooed in preparation for special events, and on an as needed basis. High traffic areas are given priority. Windows are washed inside and outside. Indoor insect control is also provided by this department. Clayton State also participates in a Single Stream Recycling Program.

Building Services and Facilities Compliance Department Work Hours:

Day shift work hours: Monday-Friday, 10:00 am - 7:00 pm

Swing shift work hours: Tuesday-Saturday, 7:30 am - 4:30 pm

Night shift work hours: Sunday-Thursday, 10:00 pm - 7:00 am

Saturday, 7:30 am - 4:30 pm (Special Events/Requests)

Requests for services should be submitted online through SchoolDude at <https://www.myschoolbuilding.com/myschoolbuilding/myorganization.asp>. The organization number is 972381219, and the password is Password. Facilities Management can also be contacted at (678) 466-4240.

Staff is also available in the event of an emergency. If after hours, call Public Safety at (678) 466-4050.

Day Shift Daily Tasks:

- Trash removal daily in classrooms
- Floors swept/mopped as needed
- Vacuuming
- Restrooms cleaned 2 or 3 times daily on this shift
- All building closets stocked with supplies
- Cobweb removal
- High and low dusting in selected areas, based upon rotation schedule (Fridays only)
- Most detailed cleaning projects are executed campus wide on Fridays
- Pressure washing buildings during semester breaks
- Support events at Spivey Hall after hours
- Commencement set up and detailed cleaning
- Manager/Supervisor conducts building inspections

Night Shift Daily Tasks:

Each building has workers assigned to perform the scheduled routine duties: maintain the appearance of offices, classrooms, hallways, laboratories, lobbies, lounges, elevators, stairways and restrooms by performing the following housekeeping duties:

Sunday	<ul style="list-style-type: none"> • Sweep, mop, and buff hallways throughout the campus, based on rotation schedule • Periodic scrubbing and waxing of selected areas
Monday	<ul style="list-style-type: none"> • Carpets spot cleaned or steam cleaned in selected areas
Tuesday	<ul style="list-style-type: none"> • General sweeping and mopping of class rooms throughout the campus, based on rotation schedule • Selected hallways swept, mopped, and buffed
Wednesday	<ul style="list-style-type: none"> • Carpets spot cleaned or steam cleaned in selected areas
Thursday	<ul style="list-style-type: none"> • Selected hallways swept, mopped, and buffed • Carpets spot cleaned in selected areas of the campus

11.2.1 Life Safety

Below is a list of Life Safety items that Building Services handles:

- Building Inspections
 - Means of egress has been blocked by storage and is a violation of life safety codes.
 - Storage in stairwells blocking the means of egress in case of an emergency.
 - Storage in hallway obstructing the means of egress.
- Blockage of Fire Extinguisher – Don't have access in case of an emergency.

11.2.2 Special Events

Please notify the Building Services department at least 3 business days before a special event occurs on campus. This will allow the department to provide the adequate services, staff and resources for this event.

Overtime – If the special event requires overtime, the requesting department is responsible for providing the funds from the account of that department.

11.2.3 Single Stream Recycling

Clayton State University has partnered with its waste management provider to assist the campus in piloting a new single stream recycling program. This program is designed to promote responsible resource management and to reduce waste costs.

In May 2011, the Student Center and Student Activity Center buildings were selected to pilot the program. In September 2013, the Physical Education Building, The Continuing Education Department, Spivey Hall, and Music Department will participate in the Single Stream Recycling, which allows participants in these buildings to co-mingle all their recyclables into single containers for collection, processing and remarketing.

Acceptable Recyclable Items:

- | | |
|-----------------------------------|-------------------------------------|
| • Plastic Containers (grades 1-7) | • Paperboard |
| • Aluminum and Steel Cans | • Spiral notebooks |
| • Glass (all colors) | • Cardboard (flattened) |
| • Mixed Office Paper | • Newspaper, magazines, phone books |

Items not accepted for recycling (at this time):

- Food waste and containers
- Used tissues
- Used paper towels
- Plastic bags
- Styrofoam
- Light bulbs
- Batteries
- Film
- Magnets

The plan is to gradually expand the program campus-wide to all buildings. This program has been successfully implemented at many businesses and institutions and should help CSU significantly increase the total amount of campus waste that is recycled as well as result in cost savings.

Proactive	
People	We are ordinary people offering extraordinary services.
Integrity	It is not who is right, but what is right that is important.
Quality	We will set our goals and expectations.
Professionalism	We will treat our customers and fellow co-workers with respect, responsiveness, cooperation, and open communications.
Service	We will remember that every customer is important and plays a role in our daily success or failure.
Accountability	Any employee who receives a complaint in his/her area will be accountable until it is resolved.
Responsibility	Each employee will treat Clayton State University property as if it were his/her own.
Teamwork	Always speak positive about the Facility Management Building Services Department and fellow co-workers, in or out of the workplace.

11.3 Landscape Management Responsibilities

Justin Brooks is the Assistant Director of Landscape Management, reporting to the Director of Physical Plant Operations of Facilities Management. The Landscape Management Department maintains 186 acres of main campus and a satellite facility (Lucy C. Huie Hall) in South Jonesboro. The Landscape Management department strives to enhance Clayton State University's learning environment through designing, installing and maintaining beautiful and inviting landscapes. Landscape Management also installs irrigation systems throughout the campus that are provided by pond water. In addition, this department provides event setup and moving services for campus functions.

The campus is divided into seven zones for landscape maintenance purposes. Work is concentrated in one zone per workday to maximize productivity. The goal is to do substantial maintenance in each area of campus so that the entire campus gets some attention every five to seven days. The zone map is only a guide, since holidays, inclement weather, and special projects may cause the zone schedule to be modified frequently.

Clayton State University is working towards becoming a Tree Campus USA by implementing a Tree Committee, encouraging students to participate during Arbor Day Observances, and conducting Service Learning projects twice a year to inform the campus community about the importance of trees.

Landscape Management Department Work Hours:

Monday-Friday: 7:30 am - 4:30 pm cool season

Monday-Friday: 6:30 am - 3:30 pm warm season

Requests for services should be submitted online through SchoolDude at <https://www.myschoolbuilding.com/myschoolbuilding/myorganization.asp>. The organization number is 972381219, and the password is Password. Facilities Management can also be contacted at (678) 466-4240.

Staff is also available in the event of an emergency. If after hours, call Public Safety at (678) 466-4050.

The Landscape Management department provides the following services:

- Commencement Setup
- Event Setup
- Exterior Pest Control
- Inclement Weather Preparation
- Irrigation
- Landscape Design
- Landscape Equipment Preventative Maintenance
- Landscape Installation
- Landscape Maintenance
- Leaf and Debris Cleanup
- Moving Services
- Pond and Dam Management
- Sports Field Maintenance
- Storm Drain Maintenance
- Trash Removal
- Tree Management

The Landscape Management department is proactive and conducts safety inspections throughout the campus grounds.

- Constant monitoring of dead and hazardous trees and limbs. The Landscape Management Department has a Certified Arborist on staff.
- Monitoring of man-hole covers (storm drains, valve boxes, etc.)
- Nuisance wildlife and pest control: snakes, bees, wasps, yellow jackets, hornets, fire ants, etc.
- Overgrown Vegetation
- Pond and Dam inspections
- Inclement Weather Preparation
- Zone safety walk-throughs

11.3.1 Moves and Setups

Landscape Management's Moves and Setups consists of 2 employees that are responsible for setting up or moving tables, chairs, and other furniture or equipment for campus events or for faculty and staff work requirements.

All moves and setups are state funded. Larger moves may require a moving company to perform the larger work required. This will require bidding the job out, which could take up to 2 weeks or more through the Procurement Office. Please take into consideration the time frame that is needed for bids and scheduling.

When Campus Departments have events that require setting up tents, inflatables, posters, signs, etc., please contact the Facilities Management department to coordinate these events so irrigation systems, utilities, tree roots, turf grass, plants, etc. are not damaged from these items.

Types of Setups and Moves	Description
Routine Requests	Furniture moves, small event setups (tables and chairs), etc.
Special Requests	Commencement, Open House, placing tarp for events on gym flooring, large office moves, etc.
Off-Campus Requests	Off-Campus requests need to be evaluated and approved by Assistant Director of Landscape Management.

Overtime Pay – When other departments request an event set-up or other work order that is required to be performed after normal working hours or on weekends, the requesting department shall pay for the overtime pay from their budget.

When moves or setups are required, the requesting office should print and complete the appropriate work request following the link below:

<https://www.myschoolbuilding.com/myschoolbuilding/myorganization.asp>

ROUTINE REQUESTS SHOULD BE SUBMITTED AT LEAST 3 BUSINESS DAYS PRIOR TO REQUESTED DATE FOR SETUP OR MOVE. SPECIAL AND OFF-CAMPUS REQUESTS REQUIRE MORE PLANNING AND SHOULD BE SUBMITTED AT LEAST TWO WEEKS IN ADVANCE.

11.4 Building Operations Responsibilities

Michael Campbell and Mohammad Khan are the managers of Building Operations, reporting to the Director of Physical Plant Operations of Facilities Management. The Building Operations department of Clayton State University is dedicated to provide a comfortable environment to the campus community and to support the University's core mission of education and enlightenment. Services provided fall into four major categories: preventive maintenance, demand calls, customer request calls, and emergency services. A brief description follows:

Preventive Maintenance

Building Operations conducts ongoing preventive maintenance on equipment to prevent emergencies and equipment breakdowns. Preventive measures include inspections, testing, lubrications, cleaning, filter, belt changes, etc. Work is performed according to the manufacturer's recommended maintenance procedures. Preventive maintenance responsibilities also include those mandated by government regulations, insurance requirements and building codes. Many of these, such as fire alarm testing, life safety, emergency lights and elevators are designed to ensure the safety of building occupants. If a customer requests to have Building Operations maintain any special equipment outside the scope of the department's basic responsibilities, such services will result in establishing a work order.

Demand Calls

Demand calls are defined as the everyday work that originates within Building Operations. Examples of routine maintenance are:

- Ceiling tiles: Replace stained, broken or missing
- Climate Control
- Install and remove door stops
- Kitchen equipment: Ovens, fryers, dishwashers, freezers, coolers, ice machines and steamers
- Light bulb replacement (blown lamps)
- Locksmith
- Paint: Parking lots, curbs, walkway light posts, offices, corridors and classrooms
- Removing personal space heaters
- Repair carpet and vinyl
- Roof leaks
- Toilets and Sinks: Leaking, repairing flush valves, loose seats
- Walking surfaces: Loose bricks, uneven sidewalks, step treads, etc.
- Water leaks: Chilled/hot water pipes, Domestic hot/cold water pipes, roof drains, etc.

Customer Request Calls

Demand calls take priority over Customer Requests, but we try to complete all request within 3 business days. Examples of Customer Requests calls are:

- Assemble: Furniture, carts and keyboard trays
- Hang banners
- Hanging: Pictures, shelves, door signage, coat hangers, white boards, cork boards, monitors, TVs, etc.
- Install cabinets
- Mount TVs, projectors and screens
- Repair and install blinds
- Repair furniture

Emergency Services

A Building Operations emergency is any situation that will result in a threat to life, safety, health, facilities, utilities or interruption of classes, clinics or events. Examples of an emergency situation would be:

- EPA/SPCC concerns
- Fire alarms/Fire doors
- Floods in buildings
- Inclement Weather
- Power outages in buildings
- Refrigeration systems
- Sewer backups inside or outside buildings
- Underground water, gas or electrical lines

In any emergency situation Public Safety should be contacted at (678) 466-4050 and reported. Our staff is on call 24/7 and will respond immediately.

Building Operations Department Work Hours:

First Shift: Monday-Friday, 7:30 am - 4:30 pm
Second Shift: Monday-Friday, 1:00 pm - 10:00 pm Saturday,
7:30 am - 4:30 pm

Requests for services should be submitted online through SchoolDude at <https://www.myschoolbuilding.com/myschoolbuilding/myorganization.asp>. The organization number is 972381219, and the password is Password. Facilities Management can also be contacted at (678) 466-4240.

Staff is also available in the event of an emergency. If after hours, call Public Safety at (678) 466-4050.

Services provided by the Building Operations department include:

- Carpentry
- Commencement Setup
- Electrical
- Energy Conservation
- Energy Management System
- Irrigation
- Keying Services
- Life Safety Equipment
- Lighting
- Masonry
- Mechanical
- Painting
- Plumbing
- Preventive Maintenance
- Refrigeration
- Renovation of all facilities
- Special In-house Projects
- Storm drains
- Utilities

11.4.1 Key Requests

Key Requests consist of submitting the “Key Request Form” through the Public Safety website or <http://www.clayton.edu/public-safety/crimesafety>. Public Safety approves the request and submits to Facilities Management; in turn, a work order is created in SchoolDude. After the request is completed, Facilities Management will turn the keys back over to Public Safety who will contact and issue the keys to the appropriate person.

11.4.2 Life Safety

Below is a list of Life Safety items that are handled by Building Operations:

Elevators	Passengers possibly trapped in elevator, not working, lights out, phone not working, inspections (weekly and monthly), etc. <i>If trapped in elevator, simply press the phone button and you will be connected to our Public Safety office.</i>
EPA	Spill Prevention Control and Countermeasures (SPCC), transformers, generators, fuel tank, grease traps pumped, fluorescent lamps, etc.
ADA	Door operators, parking, sidewalks, evacuation chairs, etc.
Emergency Lighting	Exit lights, egress lights, generator power for lights, parking lights, street lights, walkway lighting, etc.
Fire Prevention	Fire alarms, fire extinguishers, sprinklers, fire pumps, fire suppression systems, etc.

Any personal appliances or equipment such as: Microwaves, heaters, refrigerators, coffee pots, etc. must be approved by Building Operations prior to placing for inspection to see if the circuits can handle the power required. This is to prevent any safety issues such as fire hazards.

Inspections

Building Operations conducts many inspections in-house to ensure that we have a safe campus environment. A few examples are listed below:

- ADA – Doors, ramps, parking
- Building Walks – Conducted monthly
- Chillers, Cooling Towers
- CSU East Walk path – Wood Planks and Lighting
- Elevators
- Emergency Lights
- Exit Lights
- Fire Alarms
- Fire Extinguishers
- Generators
- Outdoor Lighting – Conducted bi-monthly
- Roofs
- Safety Walks
- Student Classroom Readiness – Conducted prior to start of each semester
- Transformers

Some semi-annual and annual inspections on campus require state or local officials to inspect and must be outsourced. Examples are listed below:

- Boilers
- Elevators
- Fire Alarms in Buildings

- Fire Doors
- Fire Extinguishers
- Fire Hydrants
- Fire Sprinklers and Pumps
- Fire Suppression, Vent Hoods, FM200 and Stat X
- Grease Traps Pumped and Manifest Logged
- Transformers
- Vent Hoods in Kitchen Cleaned
- Water Treatment

Sustainability

We strive for the conservation and sustainability of our campus. We have Leed Certified and Certified Energy Manager Professionals on staff. We use resources such as rain and storm water to irrigate the beautiful landscapes, replaced water fountains with new eco-friendly water bottle refilling units, installed occupancy sensors along with LED upgrades to save energy, installed a Bio Digester in our kitchen to reduce food preparation waste and we use environmental friendly chemicals for cleaning.

Assistance to Other Departments

Building Operations assist other departments around campus such as:

- Media Printing with installing Monitors, outlets and TVs, along with pulling cables to different locations
- IT with installing outlets and cables
- Assist with departmental accreditation
- Assist Aladdin prepare for health inspections in food services
- Assist Labs with fume hoods and distillers
- Assist departmental events

11.4.3 Warehouse Operations and Buyer Responsibilities

Kenneth Daniels is the Warehouse Operations and Buyer, reporting to the Director of Physical Plant Operations of Facilities Management. The warehouse department is responsible for the warehouse functions only for Facilities Management. Services provided by the department include:

- Locate and order parts and materials for Facilities Management department.
- Accountability for inventory of tools, equipment, materials and supplies.
- Coordinate disposal of hazardous materials for Plant Operations.
- Coordinate the receipt and distribution of parts, material and supplies.
- Responsibility for all record keeping (reports, logs, etc.) of inventory.
- Responsibility for maintaining the warehouse, keeping it clean, organized and stocked at all times.
- Responsibility for keeping records that deal with any EPA issues in Facilities Management.
- Responsibility for fuel management for all vehicles at Plant Operations
- Pick up supplies off campus.
- Track and keep tool inventory annually.
- Maintain logs on all refrigerants.
- Input data on parts into centralized computer system and correlate it with work requests in the system for expense tracking associated with the work orders.

Warehouse Work Hours:

Monday-Friday, 7:30 am - 4:30 pm

Please contact Facilities Management at (678) 466-4240. Staff is also available in the event of an emergency. If after hours, call Public Safety at (678) 466-4050.

11.5 Business Operations

Wendy Spears is the Business Manager, reporting to Assistant Vice President of Facilities Management. The following associates reports to the Business Manager.

Name	Title	Contact Information
Wendy Spears	Business Manager	WendySpears@clayton.edu (678) 466-4243
Donnie Collins	Facilities Coordinator for Asset, Fleet and Work Request Management	DonnieCollins@clayton.edu (678) 466-4242
Justin Parkerson	Manager Central Receiving and Property Control	JustinParkerson@clayton.edu (678) 466-4251
Gerodney Thornton	Mail Services	GerodneyThornton@clayton.edu (678) 466-4251

Business Operations provides support with the planning, organizing, managing and controlling of the business affairs in the Facilities Management Department. It maintains budgets for Facilities Management, prepares Capital and Construction Reports quarterly, A/E Monthly Reports and reconciles monthly credit card statements.

Business Operations Responsibilities:

The Business Operations Department provides the following services:

- Contract Management and Project Files
- Budget Management of Facilities Management
- Asset Management
- Fleet Management
- Management of demand service and preventative maintenance requests through the work request system
- Central Receiving operations
- Mailing Services operations
- Property Control
- Vehicle Rental

11.5.1 Contract Management

The Business Manager controls all aspects of Public Works construction contracts and consulting agreements through the bidding process and advertising requirements which are driven by the construction costs associated with the service. The Business Manager follows Board of Regents rules and guidelines. The Business Manager also ensures proper control over all required documentation and affidavits following established [Project File Check List](#) procedure to ensure they are completed properly and processes payments for invoices.

Budget Management of Facilities Management

The Business Manager is responsible for monitoring the budget for the entire Facilities management operation. Continuous analysis of budgeted amounts vs. actual expenditures and encumbrances is provided to reveal areas where the budgeted amount may not be sufficient. The Business Manager works with the Assistant VP of Facilities Management to amend the budget as required.

11.5.2 Asset Management

Donnie Collins is the Facilities Coordinator for Asset, Fleet and Work Request Management, reporting to the Business Manager of Facilities Management. Asset Management is facilitated by the Central Receiving and Property Control division of Business Operations. When a purchase order item is received in Central Receiving that meets the classification requirement for capitalization and recording as a university asset, Property Control assigns an inventory tag to the item before delivery to the ordering department. The item is then entered into the Asset Management system so that the item may be tracked, managed, depreciated, and properly reported.

The uses of the Asset Management system are outlined immediately below. The day to day control of assets is handled by the Property Control division. See the section below titled **Inventory Control** below for day to day control of asset information.

Clayton State University utilizes the Asset Management System to provide the following benefits to the institution:

Accountability

Each item in the Asset Management System is assigned to a department, and the department head is responsible for the asset. The department head is responsible for preparing required paperwork when the item is moved or transferred, and is the primary contact when any problem arises with the accountability of the item.

Location Control

An accurate location is maintained for each item. The Asset Management System is used to provide audit listings for spot checks or actual inventories as required. These audits may be conducted by:

- Fiscal Affairs Staff
- Board of Regents Internal Auditors
- Staff from the State of Georgia, Department of Audits and Accounts
- Audits by accountants contracted to various granting agencies checking condition and availability of equipment items purchased with grant funds.

Loss Control

Accurate inventory records assist in insuring that the item is still available for institutional use. These records also help the institution become aware, in a timely manner, when an item is missing or damaged.

Conducting Physical Inventory

All institutions within the University System of Georgia must conduct a mandatory physical equipment inventory on an annual basis. The results of these annual inventories should change the status or condition of the item (such as poor condition or missing) as required in the Asset Management System.

The timing of the actual physical inventory is not mandatory. Clayton State University may elect to periodically conduct physical inventories on a smaller segment of the institution's property throughout the fiscal year such that all items are inventoried by the end of the fiscal year.

Value Assignment

Clayton State University must annually report for insurance purposes the value of equipment, by building. The Asset Management System is used to prepare reports to assist in this valuation.

Tracking of Non-University System Equipment

Items purchased through sponsored grant funding may have title retained by the sponsoring agency. These items often are required to be tracked by an inventory system. This data may also be of assistance in calculation of indirect cost overhead rates for sponsored operations.

11.5.3 Fleet Management

Management is facilitated by the Facilities Coordinator and Fleet Management personnel. Fleet Management monitors 22 vehicles that serve technicians of the Facilities Management department, 8 vehicles that serve the Public Safety department, and two vehicles maintained for use by CSU employees. Maintenance of the vehicles is contracted

to local vendors. The Facilities Coordinator keeps track of reservations and readiness for the trips of the two vehicles reserved for use by CSU employees. The vehicle request policy may be found at <http://www.clayton.edu/facilities/services/vehiclerequest>

Fleet Management Responsibilities:

Responsible for all data related to the Fleet Management Program utilizing DOAS software VITAL (Vehicle Information Tracking and Logistics)

- Coordinate Fuel, Maintenance, Repairs and Inspection
- Assign Decals and Unique Vehicle Number
- Record Odometer Reading and Update Monthly Mileage and Fuel Consumption
- Receive Titles, Registration and Plates for Vehicles
- Maintain Vehicle Records
- Submit an Annual Model Year Compliance Report To OFM
- Address and Respond to Driver's Alert Call Reports
- Maintain Records of All (Report My Driving) Reports Received
- Fill Out Vehicle Request Form (Online at Facilities Management website)
- Provide OFM With Necessary Disposal/Transfer Information To Verify Removal Of Vehicles From The State Fleet Inventory Database.

11.5.4 Management of Demand Service and Preventative Maintenance Requests

The Facilities Coordinator utilizes an online maintenance management system for organizing, tracking, and facilitating work to be accomplished. All work requests from departments is scheduled via a work order request.

When repair, replacement, or other maintenance service is required, the requesting department should complete a Service Request. The department uses an online work request system for organizing, tracking and facilitating work. The online Service Request requires a requestor to be registered in the online system. Contacting Facilities Coordinator at 678-466-4242 will facilitate this step.

Preventative Maintenance requests are carried out on a constant basis following its scheduled frequencies. Majority of preventative maintenance items, i.e., electrical, plumbing, HVAC, special systems and equipment are performed by Building Operations technicians. Some preventative maintenance work, such as fire suppression system and elevator pressure tests, require special certifications or licensing, and are coordinated with outside vendors. Requests are scheduled by Facilities Coordinator by collaboration with Building Operations.

11.5.5 Central Receiving Operations

Justin Parkerson is the Manager of Central Receiving and Property, reporting to the Business Manager of Facilities Management. The Central Receiving Supervisor and staff receive all shipments facilitated by purchase order designated for central receiving delivery. Some items are delivered directly to the ordering department due to special handling requirements.

For items delivered to Central Receiving, the delivery clerk verifies that goods received are those ordered with the matching purchase order and packing slip. The non-asset items will be delivered to the department, and verified by the department. Packing slips will be signed by the receiving clerk or the department and sent to Accounts Payable for further processing. Asset items are tagged for inventory after they arrive at department, but before they can be paid for.

For items delivered directly to the department, the delivery clerk coordinates with the department to accomplish the same services as for items delivered to Central Receiving.

11.5.6 Mailing Services Operations

The Central Receiving and Property Control department consists of two employees that operate the campus Mailing Services operation. The Mailing Services Operation provides processing for all incoming and outgoing USPS mail, along with campus delivery services. The Mailing Services Operation also accepts and coordinates pickup for Courier Mail, including UPS and FedEx Ground.

The Policies and Procedures of Mailing Services require that:

- Items to be mailed are designed and printed to take advantage of lower rates for size, weight and content
- Addressed with a USPS certified correct address
- Bundled in the approved manner (see below)

The Delivery Schedule provides:

- Incoming mail will be delivered to departments on campus in the first part of the day.
- Outgoing mail is taken to the local post office each day at 3:30 p.m.
- Pickup and delivery is provided once per day at the student residence halls.

Mailroom Procedures require that:

- Mail requiring postage will be placed in bundles and identified by the department account number for “charge-back” purposes.
- All outgoing mail must have a Clayton State University’s return address and the sending department’s account number in the top left corner of each mail piece for accounting purposes.
- Mail with postage already applied, including Business Reply mail, and mail that in envelopes of an irregular shape, must be pre-sealed – the mailroom will not seal this mail.
- If five (5) or more envelopes are to be mailed from one office, submit the envelopes together with the flaps of the envelopes folded down or flat; this procedure will facilitate the mail being run automatically through the postage machine.
- Mail designated for outside the United States must be specifically marked and bundled separately; to insure accuracy and prompt delivery coordinate with the mailroom on such mail pieces.

Additional specific information about Mailing Services may be found at the Central Receiving and Property Control web site at: <http://www.clayton.edu/facilities/businessoperations/centralreceiving>. The additional information includes Courier Mail, Certified Mail, Insured Mail, and Bulk Mail.

11.5.7 Property and Inventory Control

Justin Parkerson is the Manager of Central Receiving and Property, reporting to the Business Manager of Facilities Management.

State Laws

The laws of the State of Georgia require the Department of Administrative Services (DOAS) to maintain an accurate central inventory of movable equipment owned by the State. Under these laws and the regulations of DOAS, the university is required to maintain a perpetual inventory of all moveable equipment. The equipment that is required to be tracked are only those items with an estimated usable life expectancy of three years or more and an item acquisition cost of \$3,000 or more.

Clayton State University Policy

All items meeting the definition of inventoried property will be placed in the inventory. A complete definition of inventoried property may be found on the web at: <http://www.clayton.edu/facilities/services/inventory#State%20Laws>. There are other items that Clayton State University has elected to include in the inventory without regard to the \$3,000 minimum cost. These items are:

- Books (Library) – only if procured through Library Accounts and cataloged by the Library
- Firearms
- Original works of art
- Classroom furniture, seating, stools, or large quantities of furniture (not listed individually but by amount of purchase order, and purchase order must exceed \$3,000)

Gifts to the university should be assigned a value based upon either the value established by the donor or the estimated fair market value. When the assigned value exceeds \$3,000 and estimate life exceeds 3 years, then all appropriate documents must be provided to inventory control. Gifts made to the foundation for the benefit of the University are governed by the foundation's rules.

<http://www.clayton.edu/facilities/services/inventory>

Responsibilities of Inventory Control

The Inventory Control section of Operation Services is responsible for maintaining a perpetual central inventory from information provided continually by the various Departments/Units and from annual inventories. Inventory Control records acquisitions, affixes decals to equipment, records dispositions of equipment, verifies and prepares reports of periodic inventories.

Department Inventory Coordinators

Each Dean, Director, Department Head or other Administrator responsible for property is accountable to the President for all property assigned to the respective Department/Unit. Each Dean, Director, Department Head may delegate basic inventory responsibility to a coordinator. The coordinator is responsible for annual departmental inventories; surplus coordination with Inventory Control; and notification of acquisitions of equipment.

Annual Inventory

The Department/Unit head is responsible for conducting an annual inventory of equipment when requested by Inventory Control. Inventory Control will provide a listing of equipment charged to each Department/Unit. The list should be verified for accuracy and any discrepancies should be noted on the original equipment listing. The listing should be signed by the Department/Unit head and forwarded to Inventory Control who will perform an audit/reconciliation with the Department/Unit. After completing the reconciliation, Inventory Control will prepare an itemized inventory list showing the total dollar amount of the gain or loss in inventory. The Department/Unit head must immediately notify Inventory Control and Public Safety of any item stolen or damaged by malicious acts. If an item is not located during the annual inventory of the following year, Public Safety will be advised, and it will be removed from the inventory records. The property control coordinator will file insurance claims as appropriate with DOAS Risk Management Services department.

Recovered Property

If property is recovered that was previously part of a loss settlement, the property control coordinator will promptly notify the DOAS Risk Management Services department. A return of the previous settlement amount may be required. Recovery expenses and/or repair expenses may possibly be an additional settlement.

Cautions about Use of State Property

The Board of Regents of the University System of Georgia states the following:

"Personal property owned by an institution shall be used only for institutional purposes. No employee in the University System shall permit such property to be removed from the campus of an institution for use on either a rental or loan basis if the use for other than institutional programs".

Procedures for the Transfer of Equipment

A Department/Unit must notify Inventory Control of any transfer of equipment to another Department/Unit or movement to another building. This includes repairs or lending of items to Departments/Units in another building. Internal departmental records need to be maintained if a Department/Unit remains accountable for any inventoried items that are being moved to another room in the same building.

To document a transfer or movement, the Department/Unit must complete a **Property Movement Report** and submit it to Inventory Control. The Department/Unit will coordinate with Plant Operations to arrange the transfer of items. The **Property Movement Report** may be found at: <http://www.clayton.edu/Portals/543/docs/property-form.pdf>.

Procedures for Disposal of Surplus Property

Inventory Control is responsible for coordinating the disposal of all surplus, obsolete, or unusable university equipment. Departments/Units must complete a [Clayton State University's Property Movement Report](#) and forward it to the Operation Services department to initiate the process. Inventory Control will evaluate the equipment, make it available to other CSU departments, and follow all state laws regarding disposal of the equipment. Serviceable equipment not required by other CSU departments will normally be transferred to a DOAS warehouse for further processing. Additional information about surplus property may be found at: <http://www.clayton.edu/facilities/services/inventory#Surplus%20Property>.

Personal Equipment Used by University Employees

Any items of personal equipment used on campus in connection with an employee's responsibilities **will not** be inventoried, tagged or insured. The responsibility for such equipment rests entirely with the owner. University insurance does not provide coverage for personally owned equipment.

11.6 Facilities Planning and Design

Clayton State University's Facilities Planning and Design supports the mission of the university by providing adequate facilities through existing and future planning.

Name	Title	Contact Information
Svetlana Soroka	Manager of Facilities Planning and Design	SvetlanaSoroka@clayton.edu (678) 466-4244
Priti Bhatia	Project Manager/Interior Design	PritiBhatia@clayton.edu (678) 466-4203

At Clayton State University, the Planning and Design team of Facilities Management is committed to providing the University with physical spaces that meet the programmatic needs of the campus. In addition, each project is planned and executed with the desire to provide an environment that is aesthetically pleasing and sustainable. The team provides planning support to the University in the development, evaluation, and justification of facility needs and projects.

Planning and Design Responsibilities:

The Planning and Design Department provides the following services:

- Capital Project planning, estimating, bidding, and construction administration
- Communication and coordination with the university community and outside agencies through the entire project life-cycle
- Leadership and assistance in development of campus master plans, as well as the University's Capital Implementation Plan
- Monitoring the design and construction/renovation of facilities
- Update of facilities architectural floor plans
- Maintenance and report of facilities-related information
- Preparation of annual Facilities Performance Indicators Reports
- Preparation of annual Facilities Funding Reports
- Interior Design Services
- Furniture Procurement
- Review of Facilities Modification and Space Requests as part of Facilities Advisory Committee
- Signage

11.6.1 Capital Project Planning, Estimating, Bidding, and Construction Administration

Planning and Design is responsible for activities in preparation of bidding documents for renovation and construction projects working closely with consultants. The activities shall adhere to Board of Regents policies, procedures and guidelines.

Levels of delegated authority:

http://www.usg.edu/facilities/resources/levels_of_delegated_authority

Bid Requirements:

http://www.usg.edu/facilities/documents/PW_bid_requirements.pdf

Bidding documents shall be prepared in accordance with Board of Regents forms:

http://www.usg.edu/facilities/resources/contracts_and_agreements

11.6.2 Communication with the University Community and Outside Agencies

Department is responsible for campus notification thru e-mail system of any future construction activities, coordination of pre-construction preparation including relocation of the affected by projects occupants, and any other associated with projects coordination.

11.6.3 Assistance in Development of Master Plans and Capital Implementation Plan

The department works with consultants and campus community providing necessary documents, plans, data pertaining to the facilities and campus overall.

The CSU Master Plan was completed by Sasaki Associates. Areas covered by the plan include history of the college, goal formulation, existing campus conditions, future campus requirements, physical master plan, and implementation. The full text of the [Master Plan](#) is available at Facilities Management web site.

Capital Implementation Plan is prepared with reference to the university's demand for space, history and projection of enrollment, and in accordance to the University's Master Plan.

Planning and Design Department is responsible for preparation of Due Diligence submittals for acquisition, rental, and demolition of facilities in accordance with Board of Regents guidelines:

http://www.usg.edu/facilities/resources/due_diligence_guidelines/introduction

11.6.4 Monitoring the Design and Construction/Renovation Activities

Project Manager oversees construction project activities in collaboration with representatives from other units of Facilities Maintenance Division. Every new renovation project is thoroughly reviewed for code compliance. Every design drawing for new project undergoes approval by the State and local Fire Marshal. Facilities Department works closely with county office to make sure all road work and exterior utility work is done with reference to the proper area of expertise.

11.6.5 Update of Architectural Floor Plans

The department is responsible for the update of electronic files pertaining to the building diagrams and campus property maps. Building plans for all campus structures are maintained and stored in the Facilities Management Building in blue print and electronic formats and available upon request.

11.6.6 Maintenance of Clayton State University Facilities Related Information

Planning and Design department is responsible for maintaining facilities related data and annual reporting to the Board of Regents and the State Properties Commission Agency. Modification, adjustment and addition of new facilities have to be reported through Banner web-based system and Building, Land, Lease Inventory Property (BLLIP) State database. Department follows established by BOR procedures for FIDC data formatting and reporting:

http://www.usg.edu/facilities/initiatives/facility_data/

11.6.7 Preparation of Facilities Performance Indicator Reports

Clayton State University participates in annual surveys conducted by Association of Physical Plant Administrators (APPA) on performance in various areas including building maintenance, custodial services, landscape and grounds services, administration, construction, utilities, and other vital areas of facilities planning and business practices. The report is intended to benchmark CSU with other universities nationwide in operating cost and levels of customer satisfaction.

Reports and access to surveys:

<http://www.appa.org/Research/FPI/index.cfm>

11.6.8 Preparation of Facilities Finding Reports

The department staff works in collaboration with other units within the Facilities Management in preparation of annual Major Repair and Renovation (MRR) funding requests by referencing deferred maintenance and emergency projects lists. Submittal requirements:

http://www.usg.edu/facilities/resources/forms_and_submittal_documents

MRR guidelines:

http://www.usg.edu/facilities/documents/mrr_guidelines_bor.pdf

Capital Improvements Plan (CIP) prepared for a period ranging in at least 5-year span and includes projects that normally exceed MRR funding limit. CIP is prepared with reference to CSU Master Plan.

http://www.usg.edu/facilities/capital_budget_requests

11.6.9 Interior Design Services

Planning and Design department has qualified and experienced Interior designer on staff and provides Interior design services following [Board of Regents guidelines for pre-planning](#). Campus planning is performed with reference to a Master Plan and Capital Implementation Plan outlay. Design & Planning Services plays a roll of a liaison between campus community and outside architects and consultants and works closely with Procurement Office on projects. Planning department uses resources and surveys to identify space shortfalls and make corrections upon availability of funds.

11.6.10 Furniture Procurement

All requests for purchase of new furniture or refurbishing of existing furniture are required to be submitted to Facilities Management to ensure smooth process and coordination within campus community. Requestors have to follow [Furniture Purchase Policies and Procedures](#) that includes a form that can be used for placing a request.

11.6.11 Space Utilization

At Clayton State University, all the building are full and space availability is a critical concern. We support the Space Utilization Report Observations and encourage users to consider share spaces and use the available space efficiently.

The space utilization study explores how the space is utilized on campus and how to better utilize existing space before constructing new buildings. The recently released Space Utilization Report emphasizes on using space effectively and efficiently. Key observations from the study included the need for campus-level leadership to promote a new culture of institutional ownership, and for investments in existing buildings that focus on enhancing utilization and enabling space to be used for effectively, and reducing operating costs. The study shows that more consistent metrics are needed to compare and reveal utilization opportunities.

http://www.usg.edu/facilities/initiatives/space_utilization

11.6.12 Review of Facilities Modification and Space Requests

The Clayton State University Facilities Advisory Committee is comprised of faculty and staff representatives from various departments on campus. The Committee was tasked to create a consistent process for submission and to review requests for new or modified workspace allocations. The Committee ensures that all requests are reviewed fairly and objectively, and attempts to balance the needs of each department consistent with institutional requirements and priorities. Facilities Management takes a role in providing project cost estimate and feasibility of project implementation.

11.6.13 How to Request Services

Since the reader of this manual may be initially interested in obtaining services, it should be noted that Facilities Management uses an online work request system for organizing, tracking, and facilitating work. The several forms of service requests may be found on-line at <http://www.clayton.edu/facilities/services>. Use of the on-line service request requires the user to provide a Username and Password. The User has to be registered in the on-line system. Contacting the Facilities Coordinator 678-466-4242 will facilitate this step.

The **service request** may be found at:
<https://www.myschoolbuilding.com/myschoolbuilding/myorganization.asp>.

The **vehicle request** may be found at:
<http://www.clayton.edu/facilities/services/vehiclerequest>.

The **facilities modification/space request** may be found on the menu at:
<http://www.clayton.edu/facilities/services>.

The **Property Movement Report** may be found at:
<http://www.clayton.edu/portals/543/docs/property-form.pdf>.

The **Inventory Management Form** (submitted along with a work request for sending unused property to surplus) may be found on the menu at: <http://www.clayton.edu/facilities/services/surpluscomputers>.

11.7 Conclusion

The team of Facilities Management is committed to providing the best service to the students, faculty and employees of Clayton State University. The facilities components of the manual have been prepared to document and provide guidance in the policies and procedures of the Facilities Management Department at Clayton State University. The purpose of this manual is to support the mission of Facilities Management department and to support our campus users, community and our region through responsible stewardship of resources.

The manual is intended for use by department personnel for training and guidance and for use by all members of the University community who utilize the services of the Facilities Management Department. The manual consists of a series of policy statements. Each statement describes a policy that governs a specific area of responsibility of the Facilities Management Department, and it is followed by one or more procedures that describe how those responsibilities are carried out. The content of this document reflects compliance with applicable laws and regulations. This manual is revised on regular basis to provide update on policy and procedures.

The Facilities Management department is committed to enhancing the quality of Clayton State University's physical resources by providing services in safe, timely and cost-effective manner. The department consists of people with experience, training and specialization in their field of expertise. The department strives to be effective and efficient and believes in being proactive. It is an ongoing and collaborative approach and partnership between students, faculty, employees and managing departments and we expect and welcome your observations and suggestions through survey, phone and email in assisting us in developing and maintaining high quality facilities.

The Policy and Procedure Manual of Facilities Management is a working document and will be updated on a regular basis.

12.0 Grants and Contracts

Introduction: In accordance with Board of Regents Policy, Clayton State University encourages the faculty and staff to apply for sponsored grants that enhance the mission of the institution. This section will discuss the application for grant approval, and also the administration of the grant.

The Office of Grant and Contract Programs, as part of the Division of the Provost, functions as the primary support for faculty and staff in the pre-award phase of grants and contracts. The Grants Coordinator controls the application and administrative processes for establishing the new grant.

The Office of Budget and Finance, part of Business & Operations, provides primary financial service and support to faculty and staff in the post-award phase of grants and contracts. Upon establishment of the grant, the budgeting and accounting processes are controlled and provided by the Office of Budget and Finance reporting to the Vice President of Business & Operations.

Note: This manual is intended to present an easy to use, functional approach to Business & Operations at Clayton State University. The information provided in this section regarding the Grants and Contracts is a high-level overview, and as such should not be used as the sole source of information in applications for grants or administration of grants. As indicated above, the pre-award phase of Grants and Contracts is controlled by the Office of Grant & Contract Programs. Please consult the Grants Coordinator for additional information.

Topics in this section include:

- ❑ Regents overall policy
- ❑ Regents policy on intellectual properties
- ❑ Application process for the new grant
- ❑ Acceptance of funds
- ❑ Establishing accounting procedures for the new grant
- ❑ Project invoicing
- ❑ Reporting

12.1 Regents Overall Policy

In section 600 of the Board of Regents Policy Manual, the general policy is stated as:

The Board of Regents of the University System of Georgia shall continue efforts to provide through state appropriations and other outside sources adequate funds for increased research programs of the highest quality at the institutions of the University System of Georgia (BR Minutes, 1964-65, p. 287).

12.2 Regents Policy on Intellectual Properties

During the course of many research grants, intellectual property is generated as a result of the grant's operation. These properties may be:

- Patentable inventions and materials
- Copyrighted materials
- Trademarks
- Software
- Trade Secrets

The determination of ownership of these intellectual properties is complex, and subject in some cases to the terms of the sponsored grant itself. The ownership will be determined in accordance with the terms of the grant and the specific policies outlined in Board of Regents Policy Section 600. The determination of ownership will be documented as required in said policy.

12.3 Application Process for the New Grant

Normally, the person that will become the Principal Investigator will complete the grant application with assistance from the Office of Grant and Contract Programs Coordinator, using whatever forms and procedures are provided by the granting agency. It is imperative that appropriate management levels of the institution are kept informed and that they approve of the application prior to it being submitted to the granting agency. The sections below are provided to assist the reader in finding the information at Clayton State University that will allow the flow of information to appropriate sources, and to assist in obtaining the proper approvals for the new grant. The Office Grants & Contract Programs has additional forms and approval requirements that must be completed or met before the grant request can be submitted.

12.3.1 Services Available From the Office of Grant & Contract Programs

The Office of Grant & Contract Programs, located in the Library room 134, supports Clayton State University faculty and staff in their pursuits of external funding for research and sponsored programs. The office also serves as the central coordination point for all research and sponsored program grants. The office phone is (678) 466-5053.

The Office of Grant & Contract Programs provides a wide range of support and assistance to the researcher and will assist in all activities related to proposal preparation and administration. The web site at <http://www.clayton.edu/grantcontractprograms> also has some information about Grant Writing and Funding Resources.

12.3.2 Sources of Funding

The process of locating possible grants is beyond the scope of this manual. The Grants Coordinator can assist in locating potential sponsors. A quarterly notice of funding opportunities is also available from the web site at <http://www.clayton.edu/grantcontractprograms>.

12.3.3 Interpretation of Policies, Regulations, and Guidelines

The Grants Coordinator will assist the Principal Investigator in the interpretation of policies, regulations, and guidelines applicable to particular projects. The Grants Coordinator Grants may be contacted at (678) 466-5053 or via email at *RhondaGibson@Clayton.edu*.

12.3.4 Approval of Grant Applications

All management levels above the Principal Investigator must approve of the grant application prior to it being submitted to the granting agency. The final administrative approval at Clayton State University will be the Office of the President. At each approval level, the administrator will carefully review the benefits and the negative impacts of the grant upon the overall operation of the university. The approval should be granted only if the awarding of the grant will provide a positive benefit to the institution.

Budget Approval of the Grant Application

The Grants Coordinator and the Budget and Finance staff will assist in budget preparation prior to obtaining full approval for the proposal submission.

All budgets, along with the proposal, must be approved by the Office of Grants and Contract Programs Coordinator, the Director of Grant Accounting & Compliance, and receive full administration approval in the 'sign-off' process.

No proposal shall leave the CSU campus without full approval of the budget and a full review and approval of CSU commitment in the activity. Failure to obtain such approval could result in the refusal of CSU to accept an award. It is recommended that the PI prepare early to allow for time needed to obtain approvals.

Routing Approval Required

The **Grant Application Submittal Process** form is available from the Grants and Contracts web site at <http://www.clayton.edu/grantcontractprograms>, and must be used for the approval process. The form requires approval at the following levels:

- Department Head, Associate Dean, or Director
- Dean or Vice President
- Provost and Vice President for Academic Affairs
- VP for Business & Operations/Director of Grant and Accounting and Compliance
- President

12.4 Acceptance of Funds

The President of the university formally accepts all sponsored projects funds/awards. Normally, award notices from federal agencies are directed to the President, with a copy to the Principal Investigator. In some instances, the notice may go only to one or the other. However, the President of the university is always the individual authorized to accept the award by signing the appropriate forms just as the President was the authorized signature allowing submission of the proposal.

When a grant award notification is received, the Principal Investigator should examine the document for possible administrative errors or omissions. The Principal Investigator should immediately send a copy of the award letter to the Office of Grant accounting and Compliance in Budget & Finance and to the Office of Grants and Contract Programs. This award letter is the key to starting the process of obtaining a CSU account, without which funds cannot be spent by the Principal Investigator.

At all steps in the process of acceptance, account set-up, and reporting, the Budget and Finance - Grants and Contracts Office staff will assist the Principal Investigator as needed. Any questions about any part of the procedure may be directed to the office staff for clarification or assistance. The Director of Grant accounting & Compliance will assist the Principal Investigator in account management and will maintain up to date fiscal records of all awards.

12.5 Establishing Accounting Procedures for the New Grant

12.5.1 Grant Services Provided by the CSU Budget and Finance - Grant Accounting & Compliance Office

The Budget and Finance – Grant Accounting and Compliance Office provides support to Grant Principal Investigators by:

- Maintaining fiscal accountability
- Providing assistance for grant management
- Providing post-award financial administration of contracts, grants, cooperative agreements, and other binding documents
- Acts as the liaison with federal, state, local, and private funding sources concerning related fiscal issues

The Grants Accountant assists in the post-award process. The budget prepared by the Principal Investigator, often with the assistance of Grants and Contracts staff, becomes a

part of the files in the Grant Accounting and Compliance office and is used to verify all expenditures related to the award. The Grant Accounting & Compliance office assists the Principal Investigator in obtaining a CSU account number and will track the Facilities and Administrative (F & A) recovered costs for the President, Vice President for Business and Operations, the Provost and Vice President for Academic Affairs, the Deans of the various colleges and others needing this information. Effective July 1, 2003, F & A funds may be carried over into the next fiscal year.

12.5.2 Project Number Assignment

After the grant award is completed, a signed contract documenting the official award must be delivered to the Grant Accounting & Compliance Office. Along with the signed contract, a completed **Request for Grant Account Number** form must be provided. Upon receipt of the signed contract and the completed **Request for Grant Account Number** form, a department number and project number will be assigned to the project. These department and project numbers will be provided to all academic/administrative offices involved with the grant.

The Principal Investigator must have a CSU-assigned project number before committing any of the grant funds. Regardless of the funding source of any grant, all expenditures must comply with the guidelines of the sponsor and with those existing for the university, the Board of Regents, and relevant state policies. Any anticipated variances with established policy must be discussed with the Director of Grant Accounting & Compliance in detail and must be approved by the Provost and Vice President for Academic Affairs, and the Vice President for Business & Operations.

12.5.3 Recording Project Details/Account Number Assignment

The project details are recorded into the financial accounting system to allow proper review and processing of accounting information. The project details that are recorded are:

- The 7-digit project number
- Name of Principal Investigator
- Project title
- Start and end dates of the project
- Indirect Cost Rate (IDC)
- Cost Share Information
- CFDA number, where applicable (Catalog of Federal Domestic Assistance)
- Funding Source (Federal, State, Local, or Private)

- Sponsor and billing address
- Billing frequency

12.5.4 Grants Budgeting

Sponsored grants do not always conform to the fiscal year utilized by Clayton State University. If the grant has already been established when the original budget is being developed, then the budget amounts for the grant will be part of the CSU original budget. If the grant is awarded after the original budget is developed, the grant will be incorporated into the current fiscal year budget utilizing the budget amendment process. Grant budgets are incorporated into the CSU budget through a cooperative process between the grant's Principal Investigator, and the Grant Accounting & Compliance Director.

12.5.5 Grant Expenditures

The Project Investigator is the only individual that has authority to sign off on grant expenditures. The Project Investigator is solely responsible for the financial management of his/her project. Department Head's and Dean's signatures should only be used when a secondary signature is required. If the Project Investigator will be on leave for an extended period of time, then someone can be delegated to sign on behalf of the Principal Investigator. A memo or email must be sent to the Grant Accounting & Compliance Office to delegate signature authority. Note that equipment costs in excess of \$5,000 must also receive prior approval from the Grant Accounting & Compliance Office.

12.6 Project Invoicing

Most grants will reimburse the institution for actual expenses after those expenses have occurred. As part of the monthly review process, the Grant Accounting & Compliance Office requests funds from sponsors to reimburse Clayton State University for each month's expenditures. Invoices for federal, state, local, and private sponsored projects are prepared by the Grant Accounting & Compliance Office on a monthly or quarterly basis, depending on the terms of the grant contract.

12.7 Reporting

12.7.1 Time and Effort (T&E) Reporting

Federal regulations require Clayton State University to maintain an effort reporting system to ensure that salaries and wages charged to grants accurately reflect the level of effort expended on grant activities. CSU uses an “after the fact” certification process in which the proportion of the employee’s salary charged directly to the grant or committed as cost-share is calculated as a percent. The employee is then asked to certify that this percent salary distribution is a reasonable representation of his/her total effort performed for CSU during the reporting period.

The **Time & Effort (T&E) Report Certification** form is available from the Contracts and Grants web site at <http://www.clayton.edu/grantcontractprograms>. Faculty are required to complete T&E reports no later than the end of each semester. Non-faculty are required to complete T&E reports at the end of each month. Completed T&E report certification forms should be submitted to the Payroll Office.

12.7.2 Periodic Reporting

The Principal Investigator is responsible for reviewing expenditures in the PeopleSoft Financial System to verify accuracy. The Principal Investigator should keep his/her own records of expenditures to compare to monthly reports to ensure that all grant expenditures are directly related to the project and are necessary to meet project goals and objectives.

As required by contract, the Office of Grant Accounting & Compliance is required to submit periodic financial statements to the granting agency concerning performance of the grant or contract. Often, these periodic financial statements must be submitted on a specific form or statement format specified by the sponsoring organization. Copies of these reports are provided to the grant’s Principal Investigator, and to other administrative personnel as required.

12.7.3 Final Reporting

In addition to the periodic reporting to the sponsoring organization, most grants also require a formal final report. Often the format of the final report is specified by the sponsoring organization. The Grant Accounting & Compliance office assists the grant’s Principal Investigator in producing the accounting aspects of the final report required by the sponsoring organization.

13.0 Payroll Operations

Introduction: The Clayton State University Payroll Department provides all payroll services for the university. The mission of the Payroll Department is to provide employees with timely and accurate compensation in compliance with federal, state, and local regulations, and to provide reporting of payroll expenditures to university management.

Topics in this section include:

- ❑ Overview
- ❑ Payroll Policies and Procedures
- ❑ Employee Data and Personnel Changes
- ❑ New Employees
- ❑ Payroll Processing
- ❑ Distribution of Pay to Employees
- ❑ Departmental and Supervisory Responsibilities
- ❑ Payroll Reporting
- ❑ Disposition of Unclaimed Payroll Checks
- ❑ Policies Related to Extra Compensation

13.1 Overview

The Office of the Vice President for Business & Operations provides the Accounting, Human Resources, and Payroll services for the University

The Payroll Department works closely with the Human Resources Department and the Accounting Department to execute all transactions associated with adding and terminating employees, accurate payment of salaries, benefits and payroll liabilities. The Payroll Department works with the Accounting Department to ensure that all accounting processes between payroll and accounting work smoothly.

The Human Resources Department is responsible for all aspects of recruitment, salary and benefits packages, job classifications, employment of new personnel, employee orientation, and administration of leave and benefit programs. The Payroll Department provides the operational processing to calculate and deliver salaries/wages and associated benefits to employees.

In partnership with the USG Shared Services Center (SSC), the payroll office processes, verifies and confirms the university's payroll submittals to SSC for final processing and delivery. After final review and confirmation, SSC remits payroll deductions to the proper government entities, agencies and companies.

A third-party vendor (ADP) provides payroll processing services to the university through a portal that allows employees to update time and attendance, and allows supervisors to edit payroll records. These changes will be discussed in detail in a later section of this chapter.

All costs associated are electronically provided to the Accounting Services department by SSC and/or ADP in order that all costs are included in the financial accounting reports produced for the University. The Accounting Services department provides all financial accounting for the University, including the reconciliation of payroll/benefits accounts.

. Services provided by Human Resources include collection and processing of all hiring documentation including, but not limited to: employee compensation, Federal and State tax withholding allowances, direct deposit information, benefit enrollment, retirement enrollment. The payroll production process includes calculation of pay amounts and corresponding employee deduction amounts, production of pay to employees, and reconciliation and remission of payroll deductions to proper entities not directly paid by SSC.

Payroll processing for the University System is accomplished by ADP. ADP provides the portal for employees to use in updating time and attendance, and for making some changes to payroll records, such as Federal tax withholding allowances and direct deposit information. 13.2 Payroll Policies and Procedures.

13.2.1 Frequency of Pay

Full-time and part-time staff employees, including federal work-study student employees and student assistants, are paid on a biweekly schedule of every other Friday. Professional and Administrative, full-time Faculty, and part-time Faculty are paid on a monthly schedule, which occurs generally on the last working day of the month. Full-time faculty are paid in ten monthly checks beginning at the end of August and continuing through the May. Due to holidays and academic calendar, flexible payment schedules may be implemented as required. These flexible payment schedules will be published in advance. The current published payroll schedule may be found from the web page at: <http://www.clayton.edu/payroll>.

13.2.2 Required Actions by Employees and Managers

Biweekly Employees

Biweekly Employees must enter hours worked and vacation/sick time for each two week pay period into the ADP eTime time card, and must save and approve the timecard at the end of each pay period. Timecards are completed by the employee using the ADP Employee Self Service portal. After completion by the employee, the employee's supervisor will electronically approve timecards for all employees under his/her supervision. The ADP Employee Self Service portal may be found on the web at <http://portal.adp.com>.

If leave time is taken, **after** completing the eTime time card and receiving approval by the supervisor, the employee must also complete the **Absence Report** form to report additional leave taken. Using the **Absence Report** form as supporting documentation, Payroll will process a historical edit to the employee's leave accrual record. The **Absence Report** form may be found on the Payroll Forms website: <http://www.clayton.edu/payroll/forms>.

Monthly Employees

Monthly Staff and Faculty Employees must enter all vacation and/or sick time into the ADP Timecard, and save and approve it each month. If no vacation/sick time was taken during the month, the employee will only need to save and approve the time card. Monthly employees are not required to enter hours worked. The ADP time card may be accessed via the ADP Employee Self Service portal, found on the web at <http://portal.adp.com>.

If leave time is taken, **after** completing the eTime time card and receiving approval by the supervisor, the employee must also complete the **Absence Report** form to report additional leave taken. Using the **Absence Report** form as supporting documentation, Payroll will process a historical edit to the employee's leave accrual record. The **Absence Report** form may be found on the Payroll Forms website: <http://www.clayton.edu/payroll/forms>.

Adjunct Faculty

Adjunct Faculty is not required to enter time and attendance into the ADP Self Service portal. However, Adjunct Faculty is encouraged to register for the ADP Employee Self Service. Being registered will grant access to view pay stubs, update direct deposit info, and update demographic information. The ADP Employee Self Service portal may be found on the web at: <https://portal.adp.com>.

Student/Part-Time Employees

Student/Part-time employees are required to “punch in and out” at the beginning and ending of each shift, and also “punch in and out” during lunch breaks if these occur during the shift. The recording of Student/Part-Time “in and out” activity is accomplished using the ADP Employee Self Service portal, found on the web at: <https://portal.adp.com>.

13.3 Employee Data and Personnel Changes

13.3.1 Employee Data Changes

Faculty and Staff Employee data changes, such as address changes, access to benefits information, changing withholding tax status, etc. may be accomplished through the ADP Employee Self Service portal. The self-service portal may be found on the web at <http://portal.adp.com>. The self-service portal is available to all faculty, part-time faculty, and staff. Some changes will require additional documentation to be submitted to the Human Resources Department before the change becomes effective.

The self-service portal allows the following:

- View and print payroll payment information
- View and print W-2's
- Update federal tax withholding
- Update direct deposit information
- View compensation history
- Maintain current address, email, or phone numbers
- View benefits enrollments
- View dependent data
- Initiate changes regarding marital status and dependent status. Note that changes to name or marital status require additional documentation to Human Resources before the change can be approved. Details regarding documentation required are available on the Employee Self Service web page.

13.3.2 Personnel Changes

All personnel changes and data changes that cannot be submitted through Employee Self Service should be submitted to the Human Resources department in a timely manner.

Personnel changes consist of:

- Employee changes such as hiring, transferring and terminating
- Status changes such as full-time to part-time
- Some benefit and tax status changes
- State withholding changes

13.4 New Employees

Departments should verify with Human Resources that all new hire paperwork has been submitted and the employee has actually been hired. The new hire paperwork will include all forms required for payroll processing, including forms W-4 and G-4 for tax withholding.

13.5 Payroll Processing

13.5.1 Processing General Overview

The University is required by federal and state law to pay all University employees' salary and wages within specified time periods according to employee contracts or other agreements. The university makes these payments to employees to their selected payroll preference with BankMobile Disbursements, a technology solution, powered by BMTX, Inc. The university is required to make deductions from the salary and wage payments according to federal and state laws, contracts, and other agreements between the university and the employee. The university is required to issue an itemized statement of all deductions for each pay period. For employees receiving payment via direct deposit or BankMobile Disbursements, the itemized statement of deductions is available via the Employee Self Service portal available at: <https://portal.adp.com>.

13.5.2 Processing of Salaries and Wages

Based upon contracts, agreements, timecards, leave statements, wage and hour laws, and other documents, the Payroll Department will process the salary and/or wages due to each employee. Mandatory and elective deductions are withheld from salaries and wages. These mandatory and elective deductions are discussed in detail below.

13.5.3 Processing of Deductions and Credits

Payroll deductions are made as required by state or federal law, or for programs or services that are elected by the employee. These deductions may be taken either before or after taxes are applied to the employee's pay depending upon laws and regulations.

13.5.4 Mandatory Deductions

Mandatory deductions are deductions over which an employee has no control. The employer is required by law to take deductions from the employee's pay and remit it to a governmental agency, a retirement system, a court system, or an agent of the court for the purpose of tax withholding, contributing to the employee's retirement account, or satisfying the employee's debt. Mandatory deductions are discussed below:

Mandated by Federal or State Law

- Federal Tax Payments
 - Federal Withholding Tax
 - Social Security Tax – (*Employees working over 20 hours per week*)
 - Medicare Tax
- State Tax Payments
 - Georgia Withholding Tax
 -
- Retirement Contributions (Before-tax for federal and state reporting)
 - Employee Retirement System (Old Plan 3.66%, New Plan 10.41%)
 - Optional Retirement Plan – Faculty and Exempt Employees (5%)
Participating companies are:
 - TIAA CREF
 - VALIC
 - Teacher's Retirement System (Current - 5.25%)
 -
- Retirement Contributions (After-tax for federal and state reporting)
 - GA Defined Contribution Plan (7.5%) – Part-Time Employees Only

Court Ordered Payments

The University is obligated by law to withhold deductions from employee's pay and remit to the appropriate court or agency on the employee's behalf for court ordered payments. The reasons for court ordered payments are creditor debts, federal and state tax levies, bankruptcy, student loans, and/or child support. These deductions are based upon the employee's disposable income, and limited by law in amount. Payroll will notify the employee when a court order is received that will affect the employee's net pay. Examples of court ordered payments are:

- Student Loan Payments – 10-20% of the employee's disposable income
- Chapter 13 Payments – deduction determined by the bankruptcy court
- Garnishments – 25% of the employee's disposable income is deducted
- Child Support – deduction determined by child support agency or court order
- Tax Levy – exempted income is determined by personal withholding allowances

13.5.5 Elective Deductions

Clayton State University employees that are eligible for benefits may choose from a variety of benefit plans and charities. Many of the benefit plans are before-tax, meaning that the premiums reduce gross pay before certain taxes are calculated. The elective deductions are listed below:

- Health Insurance (before-tax for federal and state withholding, and for social security withholding)
 - Blue Choice HMO
 - Kaiser Permanente HMO
 - Blue Cross Blue Shield POS
 - HSA Open Access POS

- Dental Insurance (before-tax for federal and state withholding, and for social security withholding)
 - Delta Dental
 - Regents Dental

- Life Insurance (after-tax)
 - Board of Regents Basic Life
 - Board of Regents Supplemental Life
 - Dependent Life Insurance

- Flexible Spending Accounts (before-tax for federal and state withholding, and for social security withholding) Max deductions determined by IRS rules.
 - Dependent Care Spending
 - Medical Care Spending
- Health Savings Account (before-tax for federal and state withholding, and for social security withholding)
 - Available to employees enrolled in a High Deductible Health Plan
- Other Deductions (after-tax)
 - State Charitable Contribution (United Way)
 - Long Term Disability Insurance
 - Short Term Disability Insurance
 - Vision Insurance
 - CSU Foundation
 - Others as approved by Human Resources and Payroll

13.6 Distribution of Pay to Employees

By the addition of policy 7.5.1.1 in May of 2011, the Board of Regents instituted the requirement to use electronic transfer as the delivery mechanism for the distribution of pay to employees. The Board of Regents policy states:

Electronic funds transfer is the required method for payroll payments to employees, making funds available to the employee by the authorized pay date, unless the employee can provide documentation of having an “un-bankable” status; i.e., the employee is unable to obtain a bank account. Direct deposit is defined as the electronic transfer of funds from the employer to a depository institution designated by the employee, which makes the funds available to the employee by the authorized pay date.

Clayton State University requires all employees to receive their pay via direct deposit. Student employees without a bank account may elect to have their pay added to the balance of their optional BankMobile Vibe Checking Account.

Direct deposit is for those employees who have or plan to establish a savings or checking account with a banking institution of their choosing. The **Direct Deposit Authorization** form is available from the Payroll Department website at: <http://www.clayton.edu/payroll/forms>. The completed form along with a voided check is required to start the direct deposit service. In addition to normal banking institutions, credit unions also participate in direct deposit.

Employees receiving their pay through direct deposit will not receive a printed paycheck advice. Information regarding the employee's pay can be found on the Employee Self Service Menu.

Employees that desire to receive a printed pay check must be able to provide documentation of being unable to obtain a bank account, and must process an exemption request to the Shared Services Center. If the request is approved, the employee will receive their pay check via U. S. Mail. The checks are mailed from ADP, not from the institution. It should be noted that this delivery method will be slower than direct deposit. If a check is not received in the mail, an employee must wait ten (10) working days after the pay date to request a replacement check. After the 10th working day, the Payroll department will verify the check has not cleared the bank, void the lost check and process a replacement. Processing and delivery of a replacement check can take up to five (5) business days.

For new employees that elect to participate in direct deposit, the first payrolls will be paid by check mailed from ADP until the **Direct Deposit Authorization** form has been processed. Once direct deposit has been established for the employee, all subsequent payrolls will be deposited in the bank account indicated on the **Direct Deposit Authorization** form.

13.7 Departmental and Supervisory Responsibilities

The University has an obligation to pay employees for services performed in a timely manner. Accurate and timely reporting of an employee's time and attendance is the direct responsibility of the employee's immediate supervisor. Departmental and Supervisory responsibilities include:

- Accurate and timely reporting of an employee's time and attendance
- Knowledge of the university's policies contained in the Human Resources web site at <http://www.clayton.edu/human-resources/home>.
- Informing employees of departmental rules and practices relating to time and attendance
- Ensuring employees comply with the university and departmental policies and practices
- Ensuring all required hiring documents are prepared accurately and timely for all new employees, and are submitted to Human Resources in a timely manner
- Submitting the payroll reports on the due dates according to the payroll schedule.
- Verifying that the hours reported on the electronic timesheets are correct, and that the totals on the timesheets are correct
- Submitting leave of absence and termination information promptly to Human Resources

- Departments employing work-study students are responsible for applying university policies covering federal and institutional awards, including restrictions regarding hours worked each week and during the length of the award
- Departments must ensure proper internal controls have been established for payroll functions
- Departments should separate the duties of time reporting and preparing personnel documents
- Departments must protect the confidentiality of payroll data contained on payroll documents and reports

13.8 Payroll Reporting

The University is responsible for quarterly reporting to various state and federal agencies. These reports provide information about taxes withheld, unemployment insurance, social security deductions withheld, and employer matching amounts.

ADP in partnership with SSC issues forms W-2 Wage and Tax Statement, according to Federal Treasury Regulations at year end. Employees are encouraged to sign up for electronic delivery of annual W-2 statements by clicking the “Go Paperless” link in the Pay & Taxes/Annual Statements section of the ADP Self Service Portal. For those employees who do not choose to receive electronic statements, W-2’s will be mailed by ADP to employees via U.S. Mail. The form must be postmarked by January 31st. All questions regarding the W-2 should be referred to the SSC Customer Support Team at 1-855-214-2644 or by email to helpdesk@ssc.usg.edu .

Employees may view a copy of their W-2 and/or submit a request for a duplicate W-2 using the “Employee Self Service” feature of the ADP Self Service Portal. The self-service feature may be found on the web at: <https://portal.adp.com>.

13.9 Unclaimed Payroll Checks

The laws of the State of Georgia direct that “unpaid wages” (including “uncashed payroll checks”) are presumed abandoned after one year. After one year, the amount is reported and remitted to the State of Georgia Commissioner of Revenue.

To comply with the Georgia laws regarding unclaimed property, ADP will provide reports to the Payroll Department regarding payroll checks that have not been cashed. After efforts to have the employee cash the check have failed, the university will notify ADP to stop payment on the check and remit the funds back to Clayton State University. Clayton State University will then comply with laws regarding unclaimed property regarding this payroll item.

Unclaimed wages can also be caused by a direct deposit account being closed prior to receiving the last payroll deposit. In this case, the amount of the deposit is returned to Clayton State University. The unclaimed wages will be processed in accordance with laws regarding unclaimed property.

13.10 Extra Compensation

13.10.1 University System of Georgia Extra Compensation Policy

Per Section 5.3.2 of the University System of Georgia Business Procedures Manual, extra compensation may be paid to employees for tasks performed after normal business hours for duties not included in the employee’s normal job responsibilities, provided the following *three criteria* are met:

1. The tasks must be outside of the employee’s regular department.
2. The Departmental Agreement Form must be completed and signed by the appropriate department heads. Departmental Agreement Form
3. The employee must meet at least one of the criteria listed below (Criteria from the Official Code of Georgia Annotated Section 45-10-25):

- Chaplain
- Fireman
- Dentist
- Certified Oral or Manual Interpreter for Deaf Persons
- Registered Nurse
- Licensed Practical Nurse
- Psychologist
- Teacher or Instructor of an evening or night course or program

- Professional holding a doctoral or master's degree from an accredited college or university
- Part-time employee

Also, an employee meeting all three criteria listed above may be paid extra compensation for a task for another department during normal job hours, if the task is not part of the employee's normal job responsibilities, and the employee takes annual leave for the portion of time that is being used for the task receiving extra compensation.

Employees that have been determined by the institution to be non-exempt, as defined by the Fair Labor Standards Act (FLSA), and are performing extra duties could qualify for overtime pay. Non-exempt employees should be paid at least the overtime rate or more.

In addition, the Official Code of Georgia Annotated Section 45-10-25, No. 10, allows for an exemption for an emergency situation that must be made to protect the health, safety, or welfare of any citizens or property of Georgia.

Under no circumstances should an employee receive extra compensation for a task while receiving normal compensation for the same time period. Extra compensation does not add to earnings used for retirement calculations, and no retirement deductions are taken from extra compensation pay.

Employees receiving extra compensation shall be paid said extra compensation through the institutional payroll. Such compensation shall be subject to existing Internal Revenue Service regulations as to taxability and/or withholding taxes. No compensation, as defined above and paid to employees who are on the institutional payroll, shall be paid as per diem and fees or as stipends.

13.10.2 Board of Regents Extra Compensation and Summer Pay Policy

The USG Board of Regents Policy Manual addresses faculty employment and compensation. Per sections 8.3.12.3 and 8.3.12.4, payment of compensation to faculty for full-time employment during the summer shall be at a rate not to exceed 33 1/3% of their regular compensation for the previous academic year.

Research and Saturday classes will ordinarily be carried as part of normal work load without additional financial compensation except when *all four* of the following conditions are met:

Work is carried in addition to a normal full load.

No qualified person is available to carry the work as part of his/her normal load.

The work produces sufficient income to be self-supporting.

Additional duties are not so heavy as to interfere with the performance of regular duties.

When extra compensation is paid, it shall be in line with compensation paid for performance of the employee's normal duties.

When off-campus services conducted through a continuing education center can be included in the normal work load of an individual, no additional compensation shall be paid. Extra compensation shall be paid when the off-campus service meets the four conditions stated above.

13.10.3 Federal Office of Management and Budget (OMB) Circular A21 Extra Compensation Related to Grants

Federal agency regulations control the calculation and characterization of grant related billing. The following discussion provides guidance; however, the final authorities are the grant and contract documents, granting agency policies and procedures, and Circulars for Educational and Non-Profit Institutions 2CFR, part 220 (OMB Circular A-21). Federal guidance is given on additional pay for Faculty researchers. No guidance is given on additional pay for professional staff or administrative staff. As such, this should be addressed on a case by case basis paying close attention to the terms, conditions and policies relevant to the sponsored project and those of the BOR. Also please be aware that overtime pay is appropriate for paying non-exempt employees although the cost of the overtime pay must be allocated proportionately across all accounts paying the salary for a given pay period.

OMB Circular A-21 J.10.d (1): "Charges for work performed on sponsored agreements ...are allowable at the base salary rate. In no event will charges to sponsored agreements ... exceed the proportionate share of the base salary for that period..."

Exceptions to the process above are rare, but should be included if all four of the following conditions are met:

- 1) Work is carried in addition to a normal full load.

No qualified person is available to carry the work as part of his/her normal load.

The work produces sufficient income to be self-supporting.

Additional duties are not so heavy as to interfere with the performance of regular duties.

For Faculty research staff with nine or ten-month contracts, summer semester grant effort can result in extra compensation known as summer salary, if included in the approved grant budget.

Summer salary calculation involves dividing the contracted base salary by the number of teaching months, usually nine, and multiplying the result by the grant effort percentage times the number of summer months when effort occurred. (Example: For 25 % effort over a period of two summer months: \$72,000 base salary divided by 9 = \$8,000 per month times 2 months times 25% effort = \$4,000 in total summer salary).

To summarize: Federal grant funds normally should not be used as a source for additional pay but instead are used to “buyout” the effort of faculty researchers, i.e., course release time. However, unique circumstances as in the case of faculty who cannot be released from their teaching responsibilities are eligible for extra compensation if permitted by institutional policy and procedures, allowed by the contract, included in the budget, and if approved in advance by the granting agency.

USG Business Procedures Manual 5.3.2 states: Under no circumstances should an employee receive extra compensation for a task while receiving normal compensation for the same time period.” Thus, if the employee participates in grant activities during normal work hours, the employee must take leave time in order to receive the extra compensation. Penalties may be imposed for falsely certifying an effort report or incorrectly billing a granting agency. Both the institution and the certifier may be charged with violations of law.

14.0 Procurement of Goods and Services

Introduction: Institutions of the University System of Georgia must, by order of the Board of Regents, comply with the rules and regulations of the State Purchasing Division of the Department of Administrative Services (DOAS). The complete set of DOAS rules and guidelines are available in the Georgia Procurement Manual, and may be located from the State Purchasing home page at: <http://statepurchasing.doas.georgia.gov>.

Topics in this section include:

- ❑ Overview of Procurement Methods
- ❑ Ordering Office Supplies
- ❑ Purchasing via the Purchasing Card
- ❑ Purchasing via Requisitions and Purchase Orders
- ❑ Vendor Security and Immigration Compliance (E-Verify)
- ❑ Group Meals
- ❑ Complex Purchases
 - Procurement/Management of Wireless Communications

14.1 Overview of Procurement

14.1.1 Procurement Methods

All employees are required to follow these Procurement policies and procedures. Procurement of goods and services for use by CSU Departments may be accomplished by several methods. These methods are listed in the summary list below, and discussed in detail in following sections of this section.

- Check Request
- Purchasing Card
- Purchase Requisition/Purchase Order
- Competitive Bid Process
- Complex Purchases
 - Requests for Quotations
 - Request for Proposals
 - Request for Qualified Contractors
 - Request for Information

14.1.2 Tax Exempt Status

Clayton State University is a tax-exempt organization. Before conducting business with any supplier or service provider, please furnish them with a copy of the **CSU Sales and Use Tax Certificate of Exemption**. This form may be obtained from the CSU web site at <http://www.clayton.edu/procurement/procurementforms>. If the vendor will not honor the **CSU Sales and Use Tax Certificate of Exemption**, then the purchase should not be made.

14.1.3 Regulations of Procurement

All employees are required to follow these Procurement policies and procedures. All purchases for CSU must have a business purpose listed on either the purchase requisition, the check request, or on the reconciliation of the P-card in Works.

Clayton State University utilizes the purchasing procedures as outlined by the State Purchasing Division, Department of Administrative Services, a State of Georgia agency. The State Purchasing Division may be referenced as SPD in the remainder of this document.

Qualified items carried by Georgia Correctional Industries and Georgia Enterprises are considered MANDATORY SOURCES and are required to be purchased from these

vendors. Information about Georgia Correctional Industries is available at <http://www.gci-ga.com/>. Information about Georgia Enterprises is available at <http://www.georgiaenterprises.com/>.

Items on MANDATORY STATEWIDE CONTRACTS by SPD are required to be purchased from the contract vendors unless the State allows an exception to that contract. If a CSU department has a valid justification for purchasing from a non-statewide approved vendor and the product and/or service is available on a Mandatory State Contract, a waiver request must be submitted by the Procurement Officer to SPD for approval. The request for a waiver requires written justification and can take 5 to 7 business days for processing. Contact the CSU Procurement Services department for assistance in obtaining a waiver.

SPD also maintains State Convenience Contracts. State Convenience Contracts are contracts established by the SPD for use by all State entities. State entities may, but are not required to, use this type of contract. SPD strongly encourages the use of State Convenience Contracts.

CSU departments must verify whether the product and/or service needed is available on Mandatory State Contract prior to purchasing, regardless of the dollar amount. When items or services needed are on contracts authorized by the State Purchasing Office, then these contracts must be used for procurement of the product and/or service. Links to these contracts are available at <http://doas.ga.gov/StateLocal/SPD/Pages/StatewideContractIndex.aspx>.

Purchases of supplies and equipment not covered under the above categories are considered as GENERAL and are purchased as follows:

Purchasing less than \$5,000

Purchases of less than \$5,000 are not required to be bid. Purchases using the Purchasing Card are accomplished in this category

To have an order of less than \$5,000 processed, the order should be submitted as indicated below.

Purchases for products/services under \$2,500

- Statement of business purpose required
- May be purchased and paid with a P-card
- May be purchased and paid with a Purchase Requisition/Purchase Order
- May be paid with a Check Request

Purchases for products/services between \$2,500 and \$4,999

- Statement of business purpose required

- May be purchased and paid with a P-card
- May be purchased and paid with a Purchase Requisition/Purchase Order
- Exception: A single item purchase of \$3,000 or more that is an asset requires a purchase requisition and may not be procured via the P-card

Purchases for products/services between \$5,000 and \$24,999

- Statement of business purpose required
- May be purchased and paid with a Purchase Requisition/Purchase Order only
- If the item is not on Statewide Contract, then three written quotes with completed **CHECKLIST FOR VENDOR QUOTES \geq \$5,000** is required
 - If the needed product and/or service is on a State Convenience Contract, then one of the quotes must be from the vendor of the State Convenience Contract
 - The **CHECKLIST FOR VENDOR QUOTES \geq \$5,000** sample is printed immediately below. This sample has been reduced in size to fit the page. A full-size checklist may be found on the CSU web at <http://www.clayton.edu/procurement/procurementforms>.

CHECKLIST FOR VENDOR QUOTES \geq \$5,000					
Vendor	Quantity	Price	Brand	Time Frame	Warranty

***Purchases equal to or greater than \$5,000 but less than \$25,000 must have at least three quotes and include the Checklist**

Purchases for products/services greater than \$24,999

- Statement of business purpose required

- May be purchased and paid with a Purchase Requisition/Purchase Order only
- CSU Procurement Services Department will procure by placing a request for competitive bid, using details provided by the requesting department, on the Georgia Procurement Registry for the needed products and/or services
- CSU Departments expecting to procure more than \$24,999 from the same vendor for the fiscal year must follow the rules for purchases exceeding \$24,999

Emergency Purchases

The state considers an emergency to be life threatening or an incident that will shut down operations. Emergency Purchase Orders for more than \$100,000 must have state approval. All emergency purchases must be coordinated with the CSU Procurement Services Department.

Computer Related Requisitions

Generally, all computer related requisitions must have Clayton State University Office of Information and Technology Services (OITS) approval. All computers, software, and hardware peripherals must be supported by the HUB. Forward all related requests to the Director of OITS for approval prior to final submission to the Procurement Services Department.

Media Related Requisitions

All audio/visual requests must be approved by the Director of Media Services, prior to final submission to the Department of Procurement Services. Forward all related requests to the Director of Media Services for approval prior to final submission to the Procurement Services Department.

14.1.4 Deciding How to Purchase

The decision process involves several steps. These steps are outlined below. Utilize the first acceptable method since these are listed in order to be utilized.

- Is the item or service on a Mandatory State Contract? If yes, then prepare a purchase requisition and send to CSU Procurement Services Department for processing.
- If each item or service is \$3,000 or less, the group of items or services is less than \$5,000, the item is allowed for purchase via purchasing card, and the vendor accepts the purchasing card, then buy with the purchasing card.
- If each item or service is less than \$2,500, the group of items or services is less than \$2,500, the item is allowed for purchase via purchasing card, and the vendor does not accept the purchasing card, then buy with a check request.
- If the item is \$50.00 or less, and cannot be procured by the methods listed immediate above, then the item may be purchased using petty cash funds. Additional info is provided about petty cash purchases in the Cash Management

section (section 8). Note that sales tax may not be paid nor reimbursed on petty cash purchases.

- If any item or service is \$3,000 or more, and the group of items or services is less than \$5,000, and not allowed for purchase via purchasing card, then prepare a purchase requisition and send to the CSU Procurement Services Department.
- If any single item or service, or any group of items and/or services are \$5,000 or more and less than \$25,000 (and the item is not on state contract), then obtain three written quotes, complete the checklist, provide a statement of business purpose, and prepare a purchase requisition and route to the CSU Procurement Services Department.
- If any single item or service, or any group of items and/or services are greater than \$25,000, prepare specifications to present to procurement, provide a statement of business purpose, prepare a purchase requisition and route these documents along with bid information to the CSU Procurement Services Department. The CSU Procurement Services Department will meet with the department, will prepare bid documents, and will place the request for competitive bid on the Georgia Procurement Registry for the needed products and/or services.

14.2 Ordering Office Supplies

Office supplies may be obtained from the statewide contract for office supplies, if one is currently available. When a statewide contract for office supplies is not available, the Purchasing Card may also be utilized to procure Office Supplies.

The State of Georgia negotiates with office supply vendors for the best discounts available. After a selection process, a vendor is selected and awarded the State of Georgia Statewide Contract for Office Supplies. When a new contract has been approved, CSU departments should purchase from the contract using the Purchasing Card. See section 14.4 below for additional information about using the Purchasing Card.

Before purchasing from the contracted vendor, the user must register with vendor, and provide the purchasing card information. Information on accomplishing this will be provided. All users must contact Procurement Services to register.

After registering, the user may procure items online from the vendor. At check-out when the purchasing card is used, the web site will remove the sales tax and provide the state contract price. On-line ordering from the vendor provides next day delivery to the department of the items ordered. Note that the delivery is directly to the department and not to the Central Warehouse.

14.3 Purchasing via the Purchasing Card

Information presented in this section is a summary of information available from CSU's Procurement website at <http://www.clayton.edu/procurement>.

14.3.1 Program Overview

The purchasing card program was established by the State Purchasing Division of the Department of Administrative Services (DOAS). The Purchasing Card functions like a credit card, with the billing to the institution handled by Bank of America. Purchasing Cards are issued by the CSU Procurement Services Department.

The Clayton State University Purchasing Card Program is designed for CSU employees to transact purchases, allowing them to acquire supplies and materials more efficiently. Use of the Purchasing Card allows approval for the purchase to be made at the lowest possible level. Payment to the Vendors will be made by the Bank of America. CSU makes one payment per month to the Bank of America for all card purchases made that month.

The Purchasing Card Program does not alter State Purchasing or CSU rules and regulations. Management of expenditures and good record-keeping is required to make the acquisition process simpler and faster. The Department Budget Manager is responsible for all charges made through the use of the card by designated personnel in their department.

14.3.2 Policy Summary

Issuance of cards with annual certification

Cards may only be issued to full time or part time permanent employees of Clayton State University. An agreement and application must be completed, have approval by the employee's Supervisor, the department budget manager (if different from Supervisor), and the Purchasing Card Administrator. The agreement and application process includes a background and credit check, which must indicate satisfactory results. In addition, the new cardholder must complete instructor led P-Card training that addresses transaction limits, authorized and unauthorized purchases, reconciliation of monthly statements and procedures for reporting lost or stolen P-Cards.

All existing cardholders must take an annual on-line refresher training course and exam, with the requirement of passing with an 80% or higher score to retain the use of the P-Card. The on-line refresher training and testing is administered by the Procurement Services Department.

Card Limits

- Purchases are limited to \$4,999.99 per single transaction, including shipping and handling charges.
- Within the single transaction, no single item may exceed \$2,999.00.
-
- The maximum daily limit for a single card holder is \$5,000.00.
- Each card holder is assigned a monthly limit that may not be exceeded. The monthly limit is temporarily reduced by purchases during the month. Monthly cycle limits are restored at the beginning of each new billing cycle. See section 14.4.4.1 below for additional information about the Works Payment Manager system.
-

Authorized Purchases

Generally, most supplies, repairs & maintenance, subscriptions (job related), publications and printing, non-inventory equipment up to \$2,999.00, business cards, dues, advertising, software, university memberships, and registration fees for conferences may be charged to the Purchasing Card. Prior approvals are required for some of these items. Please see the **Agreement and Application** form at <http://www.clayton.edu/procurement/pcardforms> and the DO's and Don'ts list <http://www.clayton.edu/procurement/pcarddosanddonts> for additional details.

All employees approved to carry a State of Georgia p-card are responsible and accountable to the university for all purchases made with the p-card. They must adhere to all State, Board of Regents and university policies regarding its usage. All p-card purchases are to be used for Clayton State University official business only.

Any employee who fails to use the p-card properly or abuses the use of the p-card shall be subject to cardholder penalties; up to and including being reported to the USG Office of Internal Audit for investigation and the employees may be subject to disciplinary action up to and including termination.

Violations involving employee malfeasance must be reported to Bank of America and USG Office of Internal Audit who reports to the Attorney General's Office where the decision is made concerning prosecution. The university is not authorized to negotiate a promise not to report employee malfeasance in return for the employee's resignation, restitution, etc.

DOAS Purchasing Card Policy can be found at the following link:
<http://doas.ga.gov/StateLocal/SPD/Services/Pages/SpdCards.aspx>.

BOR Purchasing Card Policy can be found at the following link:
http://www.usg.edu/business_procedures_manual/section3/manual/C1127.

Clayton State University Purchasing card policy can be found at the following link:
<http://www.clayton.edu/procurement/pcardpolicies>.

Information about HB 1113 can be found at the following link:
<http://www.busfin.uga.edu/hb1113faq.html>.

Legislative Law (O.C.G.A. § 50-5-83) can be found at the following link:
<http://law.justia.com/codes/georgia/2010/title-50/chapter-5/article-3/part-1/50-5-83/>

Approvers are responsible for adhering to all CSU P-Card policies and procedures. They are therefore required to be aware of current laws and policies pertaining to P-Card usage. Approvers will be subject to aforementioned consequences including legal actions if violations were approved by them.

There is no gray area under HB1113, and thus, any misuse, including inadvertent use (such as mistakenly using a P-card for a personal purchase) is a violation of law and must be reported to the University System Office/Board of Regents.

Unauthorized Purchases

Personal purchases may not be made using the Purchasing Card. Additional types of prohibited purchases are listed in the **DO's and DON'T'S** Form located at <http://www.clayton.edu/procurement/pcarddosanddnts>. Violation of the rules governing use of the Purchasing Card can be grounds for disciplinary action, including termination of the employee.

14.3.3 Using the Purchasing Card

Use of the Purchasing Card is subject to the following conditions:

- Cardholder must have approval of their supervisor and funds must be available before making the purchase
- Goods may be ordered by phone, over the counter, or via secure internet sites
- Shipped materials must be sent directly to the Central Warehouse Receiving Department. The deliveries to the department should have the following address format:

PCard, Cardholder Name
Department Name
Clayton State University, Building and Room Number
Street Address
City, State, Zip

The Central Warehouse Receiving Department has locations on each campus, as indicated below with physical addresses provided:

- Main Campus, 2000 Clayton State Boulevard, Morrow, GA 30260
- Fayette, 100 World Drive, Suite 100, Peachtree City, GA 30269
- Henry, 401 Tomlinson Street, McDonough, GA 30253
- Purchases are exempt from sales tax. The purchaser should make the vendor aware of the sales tax exemption status, and give the vendor a copy of the CSU **Sales and Use Tax Certificate of Exemption** form, if requested. The exemption form is available from the CSU Purchasing web site at <http://www.clayton.edu/procurement/procurementforms>.
- **Computer Related Purchases:** All computer related requisitions must have OITS approval. All computers, software, and hardware peripherals must be supported by the HUB. Forward all related requests to the Vice President of OITS for approval prior to final submission to the Procurement Services Department. The use of a purchase requisition is recommended for computer related purchases.
- **Media Related Purchases:** All audio/visual requests must be approved by the Director of Media Services, prior to final submission to the Department of Procurement Services. Forward all related requests to the Director of Media Services for approval prior to final submission to the Procurement Services Department. The use of a purchase requisition is recommended for computer related purchases.
-

14.3.4 Transaction Tracking, Approval Processing, and Accounting Processing

All transactions are subject to two different tracking and approval processes. There is an electronic online system, known as “Works Payment Manager” that is used to collect and record transactions and their associated account numbers to be charged in the department. There is also a paper trail system, known as the Visa Packet, used to provide accountability for each transaction, along with reconciliation back to monthly statement totals. Each of these systems is discussed below:

The Works Payment Manager

The Works Payment Manager System is a web-based application that provides users with daily purchasing card transaction information, enables them to “sign off” their transactions, and to allocate the transactions to the appropriate budget accounts. Daily feeds of transactions are received from the Bank of America, and become available for processing by the cardholder. The cardholder may change the budget account (within the department), add comments, and sign-off on the transaction. The user is required to print the CSU GL

Memo Statement and attach the statement to the Visa Packet for submission. The CSU GL Memo Statement is a PDF report that provides details of the transaction and any comments added while reconciling the transaction. See section 14.4.4.3 below for instructions on printing the CSU GL Memo Statement.

Each cardholder has a credit limit associated with the Purchasing Card. As each transaction is processed, that credit limit is reduced by the transactions made within the current billing cycle. By the last business day of the month, the cardholder will reconcile the transactions in Works for the current billing cycle. The billing cycle runs from the 16th of the previous month to the 15th of the current month. After the card holder has reconciled and approved the transactions, the transactions then become available for the institutional level reconciliation by the P-Card Administrator. The P-Card Administrator should complete the institutional level reconciliation within 10 to 15 days after all transactions are reconciled by the cardholder in Works. Credit limits are restored at the beginning of each new billing cycle.

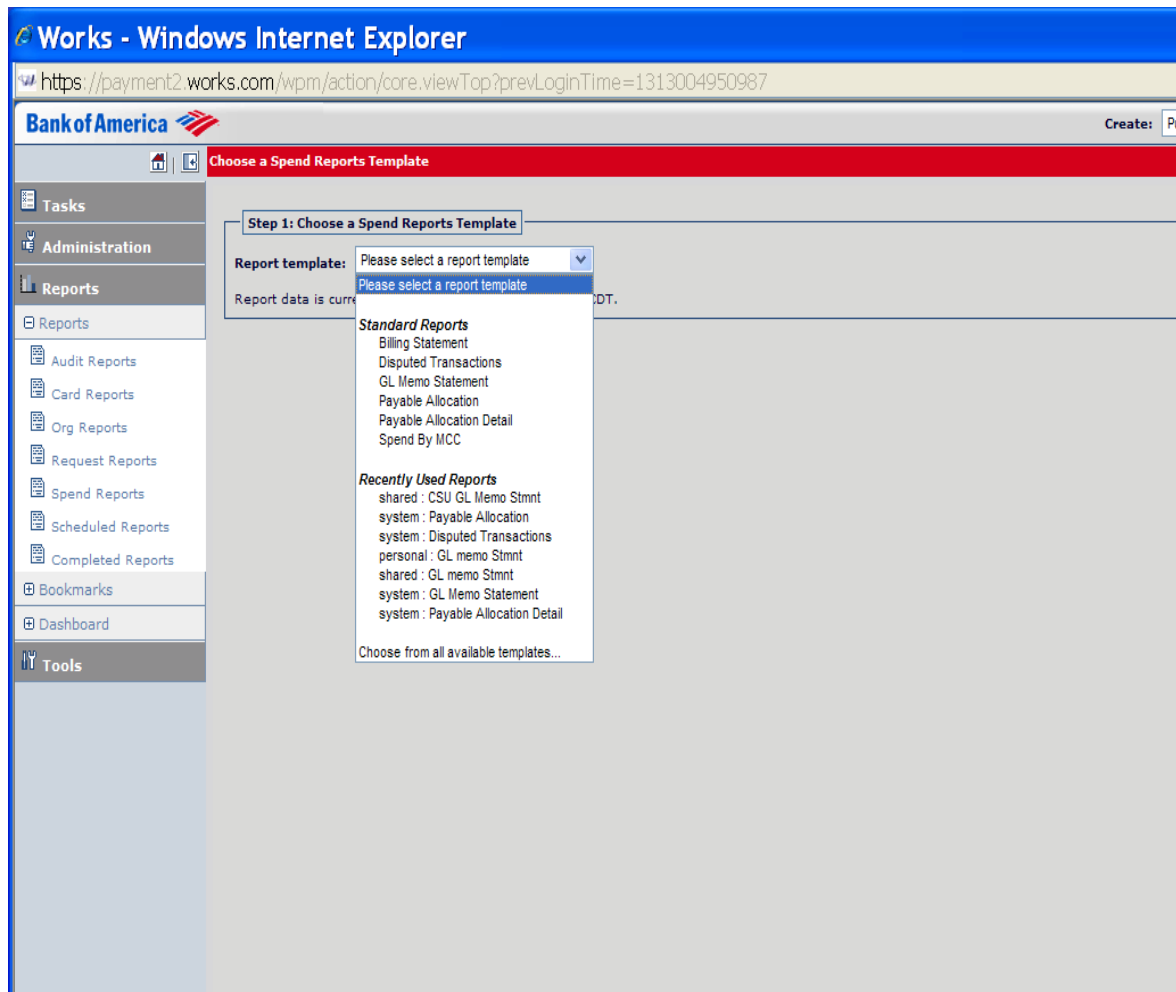
The reconciled and approved transactions become the basis for an electronically generated journal entry into the institution's accounting system to charge the department for the items purchased.

Cardholder Reconciliation

At the end of the statement period (15th of the month), a monthly central bill of all campus purchasing card activity is sent to the Purchasing Card Administrator. Individual cardholders will receive a monthly Visa statement. Using the monthly Visa statement, the cardholders will perform the following steps:

- Compare the Visa statement with the corresponding receipts retained by the department, verify all items as being received, and print and complete the **Visa Approval Form**
- Attach the receipts to the statement and forward it to the Dean, Department Head, Director or Vice President for review, approval and signature of accountability on the manager signature line. Note that a pattern of missing receipts may result in revocation of the purchasing card
- Forward the signed original Visa statement (including approvals) with the Visa approval form, CSU GL Memo Statement, the original receipts (itemized by description and price), and any disputed items to CSU Procurement Services Department by the 5th of the month following the statement date. If a receipt is missing, complete a **Missing Receipt** form, found at <http://www.clayton.edu/procurement/pcardforms>, and attach to the Visa packet
-

The CSU Procurement Services Department reviews all receipts for compliance, and expects to see a business purpose listed on the CSU GL Memo Statement for each transaction reconciled. The electronic transactions from "Works" are also reconciled to the memo statements/receipts.



Printing the CSU GL Memo Statement

The GL Memo Statement may be printed using the Works Payment Manager System by following the instructions below:

HOW TO PRINT THE GL MEMO STATEMENT FROM WORKS

REPORTS

- Reports
- Spend Reports
- Report Template
 - Click on: **Choose from all available templates** (see screen below illustration on next page)

Choose: CSU GL Memo Stmt, owner: Marcia Jones, description: monthl Works report

- Click: Finish

**If you are running the report for another cardholder, then:

- ➔ Cardholder: click on employee, search/select the cardholder
- ➔ Post Date: make sure the right cycle dates are posted
- ➔ Submit Report- located in the bottom right corner
- ➔ The results will appear as indicated in the illustration on the next page

REPORT QUEUED

- ➔ Download PDF
- ➔ Open Document
- ➔ Print and attach to your VISA Packet

14.3.5 Exception Handling

The cardholder and the Dean, Director or Department Head is responsible for resolving disputes with the vendor over pricing, shortages, damaged merchandise, etc. Bank of America and the P-card Administrator must be notified concerning a fraudulent charge on the bank statement or an unresolved dispute with the vendor concerning a credit for items that were found defective or faulty. The dispute must be filed no later than 60 days after the appearance of the item on the bank statement.

14.4 Purchasing via Requisitions and Purchase Orders

14.4.1 Purchase Requisition (Purchase Request) for Normal Procurement

A Purchase Requisition is required for the purchase of supplies, contracted services, and equipment when the purchase cannot be made within other available procedures, such as travel request, petty cash, check request, or purchasing card. A Purchase Request is made by (1) completing a **Purchase Requisition** form, including support documentation (ex. specifications, competitive pricing, and recommended vendor(s)) and (2) routing the **Purchase Requisition** form to the Procurement Services Department. The Procurement Services Department, upon approval of available funding, will issue a purchase order to the selected vendor.

Instructions for completing the **Purchase Requisition** form may be found at <http://www.clayton.edu/procurement/purchaserequisitionforminstructions>.

14.4.2 Purchase Requisition (Purchase Request) Instructions for Sole Source Vendor

There are circumstances where only one provider has the unique combination of product, experience, and/or qualifications to perform the task.

In addition to the normal requisition for services that is submitted to start the procurement process, a justification must be provided for dealing directly with one vendor for the procurement. The justification must include:

Scope of Work: Provide the information to establish the context of the sole source (e.g., item's or service function, where and how the item or service is to be used, operational environment, previous experience or history, etc.). Use layman's terms

to identify any efforts made to locate other possible sources such as review of Thomas Register, Industry Organizations, Internet searches, Consultants, RFI's, Buyers Laboratory, Advertisements in Industry Publications, contact with Buyer, etc.

Exclusive Capability: Describe the proposed supplier's unique capabilities and explain why this is the only source available. Provide specifics. Following are examples in which Sole Source could be acceptable:

- Only the proposed source can furnish the services because of its previous university experience, having an alternative source duplicating these capabilities would result in excessive cost to the university. (Excessive cost must be quantified).
- Only one supplier can satisfy the technical requirements because of unique technical competence or expertise. (Technical requirements must be valid and verifiable.)
- The item does not satisfy the requirements for Sole Source, but the use of any other manufacturer's product would result in excessive cost to the university. (Excessive cost must be quantified).
- Only one source possesses patents or exclusive rights to furnish the item/service. For example, the product is only available from the manufacturer, software developer, etc. Or only one supplier has the ability to furnish the item or service.
- Other extenuating circumstances or considerations include, as applicable, adverse impacts on the university for not using the proposed source, and other considerations not previously stated.

Proposed Source: Provide the name, address, and telephone number of the proposed vendor (service) or manufacturer (item).

CSU Departments that need to prepare a Sole Source Justification should contact the CSU Procurement Services Department for assistance in utilizing the proper format and content for the justification. The final determination of acceptability of use of the Sole Source Justification is made by the Purchasing Officer. Such procurements must be posted on the DOAS registry if \$25,000 or more to make potential vendors aware of the need.

14.4.3 Purchase Requisition for Sole Brand Procurement

There are circumstances where only one brand is considered acceptable. This may be to match existing stock or clothing, because only one manufacturer provides the goods or services, or other reasons.

In addition to the normal requisition for services that is submitted to start the procurement process, a justification must be provided for procuring a Sole Brand. The justification must include:

Proposed Source: Provide the name and telephone number of the supplier(service) or manufacturer (item).

Scope of Work: Provide the information to establish the context of the sole brand (e.g., item’s or service function. Information on where and how the item or service is to be used, operational environment, previous experience or history, etc.) will also be needed. Use layman’s terms to identify any efforts made to locate other possible sources such as review of Thomas Register, Industry Organizations, Internet searches, Consultants, RFI’s, Buyers Laboratory, Advertisements in Industry Publications, contact with Buyer, etc.

Sole Brand Justification: Some requirements may need to be provided by a certain manufacturer (for example: “to match existing uniforms”). Use this block to explain why only a particular style, type or manufacturer is acceptable. A request for “Sole Brand” does not automatically eliminate bidding requirements, as the item may be available from more than one vendor.

CSU Departments that need to prepare a Sole Brand Justification should contact the CSU Procurement Services Department for assistance in utilizing the proper format and content for the justification. The final determination of acceptability of use of the Sole Brand Justification is made by the Purchasing Officer.

14.4.4 Exemption from Competitive Bid Process for Professional Services

Professionals that are listed in the Official Code of Georgia §14-7-2 can be hired non-competitively to do work in the certified field for which they are specifically licensed. If the professional is not listed in OCGA §14-7-2, then the procurement of services must be competitively bid or a justification made for the use of sole source procurement. DOAS has further specific services that are exempt from the competitive bid process also. The classification of “Consultants” has been exempted from the competitive bid process by DOAS.

14.4.5 Public Works Contracts

Public Works Contracts are subject to policies of the Board of Regents. They are generally funded through the Georgia State Finance and Investment Commission (GSFIC) or by State Appropriations for capital facility repair and rehabilitation. Contract preparation and approval for Public Works Contracts is not within the scope of this section. Public Works Contracts are managed by the Facilities Office of Planning, Design, and Construction Services.

14.5 Vendor Security and Immigration Compliance (E-Verify) 14.5.1

July 2013, the State of Georgia implemented a new requirement for the procurement of labor and services by Governmental Entities.

Clayton State University Employees wishing to enter into a “contract” for the physical performance of services that exceeds \$2,499.99 will need to verify the Contractor’s immigration status BEFORE the contract is signed and work begins.

This means before we issue certain POs, receive bids or quotes, or start contract negotiations-Procurement Services and/or Contract Administration must obtain the notarized Contract Affidavit from the contractor/vendor.

The modified contract review policy and checklist, new FAQs, updated forms and other documents are available on the CSU Contract Administration’s website.

Please click on the link for additional information and forms listed below:

<http://www.clayton.edu/contract-administration>

- **E-Verify and Senate Bill 160**
- **Affidavits**
- **Affidavit Exemptions**
- **Attorney General’s (AG) Letter**
- **FAQs**

14.6 Group Meals and Food Purchases

14.6.1 Employee Group Meals at CSU

Under certain infrequent circumstances, employees may be required to remain at the work site during mealtime. Such circumstances include emergency situations, and intra-departmental meetings or training sessions, where the meeting or training session continues during the meal and the employees are not permitted to leave the premises of the meeting site.

Under these and similar circumstances, the university may purchase meals for the affected employees. Purchase of such meals must be approved by a higher-level approving authority of the university prior to the date of the event (for non-emergency situations).

Such expenditures are limited to the purchase of meals only; this does not include snacks. Meal limits as outlined in travel regulations must be followed.

For meals provided during emergency situations, the approval process must be initiated as soon as possible after the emergency situation is resolved, along with adequate documentation of the emergency situation.

Note that this policy does not allow the purchase of meals for a “lunch meeting”, in which the meal and the meeting are one and the same.

The Board of Regents Policy on Group Meals requires the unit providing the group meals to meet the following standards:

- Group meals should be held only to facilitate the effective and efficient operations of the departments involved
- Group meals should only be provided in those instances where the meeting lasts for at least four (4) hours
- Group meals held at the start and/or finish of a meeting are not eligible for payment under this policy
- Purchase of group meals should be approved by the head of the organization, or his/her designee, prior to the date of the event (for non-emergency situations)
- Authorized group meal expenditures are limited to the purchase of meals only and do not include snacks
- Meal limits outlined in Board of Regents Business Procedures manual Section 4.4 (Per Diem Allowance for Meals) must be followed (but set-up and delivery costs associated with the group meal are not part of this limit)
- Group meals for a “lunch meeting” in which the meal and the meeting are one and the same, are prohibited for payment under this policy

The approval request should include:

1. The purpose of the meeting or event;
2. A formal written agenda including session times;
3. A list of attendees with their associated departments/entities; and
4. The expected cost of the meal per person.

To obtain reimbursement for the meal costs, an employee reimbursement through PeopleSoft (financial systems software) should be sent to Accounting Services requesting reimbursement. Along with the reimbursement request, all of the documents that were a part of the prior approval package must be submitted. The submitted documents must contain the signed prior approval

These meals should be charged to the 727710 account, “Other Operating Expenses – Special Group Meals.” This account will be subject to special audit scrutiny to ensure that such expenditures are infrequent, rather than routine.

Additional information about Group Meals may be found in the Board of Regents Business Procedures Manual, section 19.7 “Employee Group Meals” at http://www.usg.edu/business_procedures_manual/section19/C1563.

14.6.2 Employee Group Meals Involving Multiple Institutions

There are situations where groups of university system officials representing functional areas may be required to meet. These events are often sponsored by one institution of the University System, and are supported through the use of registration fees charged to participants. The policies and rules regarding these group meals involving multiple institutions are covered in Section 19.7.2 of the Board of Regents Business Procedures Manual, and can be found at: http://www.usg.edu/business_procedures_manual/section19/C1563.

14.6.3 Purchase of Food Using Institutional Funds

The purpose of this section is to clarify those instances when food may be purchased for funds. This policy originates in the Board of Regents Business Procedures Manual, referred to in this section as BPM. This policy addresses instances when food may be purchased or food expenses may be reimbursed that are not otherwise addressed in BPM Sections 4.0 and 19.7. Section 4 covers per diem limits on meals, and section 19.7 covers employee group meals. The BPM may be found at: http://www.usg.edu/business_procedures_manual/.

Food includes meals, beverages, snacks, etc., but specifically excludes alcohol as an allowable food expense. The purchase of food for resale in connection with the auxiliary operations of an institution is allowable, and is not addressed in this policy.

An individual may be subject to different rules depending on the capacity in which they are participating in an event. For example, volunteers might include employees or students if the individual is operating in a capacity separate from their employee or student role. An employee or volunteer attending a student event in the capacity of a student would be considered a student. A student worker participating in an event while being paid would be considered an employee.

Note: Employees working additional hours in their own area, using work time to provide volunteer service, or otherwise participating in activities expected of employees, are not volunteers for the purposes of this policy.

Institutional funds include all funds to which an institution holds title, such as student fees, auxiliary revenues, state appropriated funds, etc. Purchases of food using institutional

funds should still be recorded using the proper account as designated in BPM Section 2.0 and should be made using the appropriate fund source as outlined below. This policy does not address use of affiliated organization funds to provide food to employees, students, or volunteers. Also note that this policy does not address any potential tax implications associated with the purchase and consumption of food for individuals.

The chart on the following pages outlines the funding sources that may be used when making food purchases and provides some broad examples of allowable purchases.

Note: This chart is intended to provide guidance on allowable food purchases. This chart should be used in conjunction with the relevant BPM sections referenced. Please note, however, that the method of payment via P-Cards is only allowable as described in BPM Section 3.3.1, item 5.

The funding source should generally be matched to the supported program and participants. For example, student activity fees might be used to purchase water for a volunteer event sponsored by a student group. In this instance, students, volunteers, and employees would presumably consume the water. However, student activity fees should not be used to purchase water for employees conducting outside activities as part of their normal job, e.g., groundskeepers. Please refer to BPM Section 2.0 for more information on the appropriate uses of various fund sources.

Activity	Allowable Participants	Potential Funding Source(s)	Notes
Sanctioned Student Events (excluding athletic events)	<ul style="list-style-type: none"> • Students • Volunteers • Employees whose participation is required 	<ul style="list-style-type: none"> • Agency Funds • Auxiliary Funds • Endowment funds where authorized by fund agreement • Grants or Contract Funds as authorized by fund provider • Student Activity Fees 	<ul style="list-style-type: none"> • See BPM Sections 19.8.1, 19.8.2, and 19.8.3 • Per diem limits apply
Athletic Events & Recruiting	<ul style="list-style-type: none"> • Students • Potential students & parents/guardians • Volunteers • Employees whose participation is required 	<ul style="list-style-type: none"> • Agency Funds • Athletic Auxiliary Funds • Endowment funds where authorized by fund agreement • Student Athletic Fees 	<ul style="list-style-type: none"> • See BPM Sections 19.8.1, 19.8.2, and 19.8.3 • Per diem limits apply • Applicable athletic conference rules shall also be followed

<p>Classroom & Academic Programs</p>	<ul style="list-style-type: none"> • Students • Employees whose participation is required 	<ul style="list-style-type: none"> • Sales & Service Revenue • State appropriated funds for use only in for credit courses • Tuition & Fee Revenue 	<ul style="list-style-type: none"> • See BPM Sections 19.8.1 and 19.8.2
<p>Student Recruiting Events</p>	<ul style="list-style-type: none"> • Students • Potential students & parents/guardians • Volunteers • Employees whose participation is required 	<ul style="list-style-type: none"> • Agency Funds • Auxiliary Funds • Student Activity Fees 	<ul style="list-style-type: none"> • See BPM Sections 19.8.1, 19.8.2, and 19.8.3 • Per diem limits apply

(Chart is continued on the next page)

Activity	Allowable Participants	Potential Funding Source(s)	Notes
Volunteer Events	<ul style="list-style-type: none"> • Students • Volunteers • Employees whose participation is required 	<ul style="list-style-type: none"> • All funds except state appropriated funds and tuition revenue • Recognized “executive” program tuition revenue may be used to purchase food for volunteer events 	<ul style="list-style-type: none"> • See BPM Sections 19.8.2 and 19.8.3 • Per diem limits apply • Volunteer events with sole purpose of recognition or appreciation for past services may not be paid using any fund source except for Foundation funds
Safety Products	<ul style="list-style-type: none"> • Students • Volunteers • Employees at risk due to environmental or workplace conditions 	<ul style="list-style-type: none"> • Auxiliary funds • Sales and service revenue • State appropriated funds • Student Activity Fees • Tuition & Fee Revenue 	<ul style="list-style-type: none"> • See BPM Section 19.8.3 • Expenses should be paid using the departmental budget of the assigned employees
Educational or Business Meetings	<ul style="list-style-type: none"> • Students • Volunteers • Employees whose participation is required 	<ul style="list-style-type: none"> • Auxiliary funds • Sales and service revenue • State appropriated funds 	<ul style="list-style-type: none"> • See BPM Section 19.8.3 • Meeting must consist of predominantly non-employees • Per diem limits apply

Employees with responsibility for administering institutional funds and employees requesting reimbursement from institutional funds should ensure that funds are spent only for legitimate public purposes and not for the personal benefit of the employee or other individuals. The misuse of institutional funds may result in both employment termination and various civil and criminal penalties.

Note: Multiple payment methods may be used to make food purchases, to include requisition requests, check requests, petty cash, and purchase orders, insofar as these

payment methods are not specifically prohibited elsewhere in BOR policy or procedures. A purchasing card may only be used for BPM Section 19.8 purchases as outlined in BPM Section 3.3.1, item 5.

Food for Students

Students include individuals enrolled to take classes at an institution, including students enrolled in Continuing Education, and individuals being recruited as potential students.

Institutional funds may be used to purchase food for students at sanctioned student events. Sanctioned student events include events and travel sponsored by recognized student groups, athletic team events, and other campus events open to the general student body and designed to further the development and education of students. Additionally, food may be purchased for a class in those instances where food is an integral part of the instructional methodology. For example, food could be purchased for students in a food appreciation or cooking class offered by a Continuing Education unit. While not necessarily in a travel status, the per diem limits in BPM Section 4.4 should apply to food purchased for consumption by students participating in sanctioned student events.

Potential students and their guardians may be provided food at an event designed to encourage the student to attend the institution. Food for athletic recruits may be purchased subject to the rules and regulations of the athletic conference of which the institution is a member.

Food for Employees

Employees include temporary, part-time, and full-time staff, faculty, administrators, Resident Assistants (RAs), student assistants, and other student workers.

Employees in a travel status are subject to the employee travel regulations as contained in BPM Sections 4.0. Employees in a group meal status are subject to the guidance contained in BPM Section 19.7. However, there are instances not addressed in BPM Sections 4.0 and 19.7 when food may be purchased for employees or employees may be reimbursed for food purchased. Those instances shall be addressed using the following general categories: Safety, and Academic Programs, Student Events, and Educational or Business Meetings Involving Predominantly Non-Employees.

1. **Safety.** Water or other hydration products may be purchased insofar as these products are required by OSHA or are necessary to prevent serious harm to an employee.
2. **Academic Programs, Student Events, and Educational or Business Meetings Involving Predominantly Non-Employees.** When conducting a program, event or meeting involving predominantly non-employees (of any institution of the Board

of Regents) where attendance by the employee is essential and in furtherance of an official institutional program, and the meal is an integral part of the meeting, an employee can partake in the meal and be reimbursed for his or her actual meal cost up to the per diem limits established in BPM [Section 4.4](#). An employee may not be paid a reimbursement unless the employee actually incurs a cost.

Clarifications of specific instances of allowable reimbursement include:

1. **Athletic recruiting.** An employee may be reimbursed for food purchased at a meeting whose primary purpose is the recruitment of an individual to attend the institution. The employee's participation in this meeting should be required as part of his or her job performance, and the institution should strictly control the numbers of individuals who may receive reimbursement for food purchased at a given recruitment meeting.
2. **A prior/existing contractual or grant arrangement, which must be quid pro quo, not gratuitous.** For example, an external organization may award funds to the institution with the specific proviso that these funds may be used for employee food expenses as it relates to grant activities or meetings. In this instance, food could be purchased within the grant guidelines.

However, federal grant funds should NOT be used to purchase food for employees unless the federal grantor agency, in writing, authorizes this expenditure and certifies that this waiver is not a violation of applicable federal regulations.

Business purpose should be clearly indicated on any invoices submitted for payment. Additionally, the per diem limits of BPM [Section 4.4](#) apply to food purchased for consumption by employees participating in a program, event, or meeting or otherwise reimbursed to the employee by the institution.

Per Diem limits apply only to food purchased with institutional funds. Food purchased by outside organizations does not fall under the scope of this policy. However, employees must comply with the provisions of Section 8.2.13 of the BOR Policy Manual as it pertains to receiving gifts.

Food for Volunteers

Volunteers include individuals that provide benefits to the institution (serving on an advisory board, student mentors, etc.) without receiving compensation.

Institutional funds may be used to purchase food for volunteers in those instances where a quid pro quo relationship exists. For example, an academic unit might form a volunteer advisory board for the purpose of obtaining advice, support, and expertise from members of the community as it relates to an academic program. It would be allowable to provide

food to those volunteers as part of the advisory board meeting. However, food purchased solely in connection with volunteer appreciation or volunteer recognition events would not be allowable under this policy. While not necessarily in a travel status, the per diem limits in BPM [Section 4.4](#) should apply to food purchased for volunteers.

Documentation Requirements and Enforcement of Per Diem Limits at Group Events

Nothing in this policy shall be construed as requiring an institution to provide food to employees for events or to reimburse employees for participation in events. Institutions should establish the appropriate procedures to ensure that funds for employee food are not spent without the appropriate supervisory review and approval.

Appropriate procedures shall include adequate documentation associated with the event and/or purchase. For example, food purchased for a group event should include a flyer, email, agenda, or other documentation substantiating that the event was an official event. Food purchased at a restaurant or on a per person basis should include a list of participants.

In the event that an employee expends funds in excess of the authorized per diem contained in BPM [Section 4.4](#), then the amount spent in excess should be reimbursed by the employee making that expenditure.

While the per diem limits also apply to group events where food is purchased on a group basis (pizza parties, etc.), institutions are not required to document the actual numbers or names of participants. However, institutions should require employees expending institutional funds for those events to certify that the appropriate per diem limits were followed.

14.7 Complex Purchases via Competitive Bid Process

The University must comply with DOAS rules and guidelines. There are times when the normal procurement processes discussed previously in this section cannot provide the desired results. These types of purchases may involve obtaining quotations or proposals from vendors to deliver goods and/or services over a period of time where the university is seeking the best possible combination of price and value. These procurements are used to establish a contract from which periodic purchases may be accomplished. These complex purchases must be coordinated between the requesting department, the Procurement Services Department, and the Department of Administrative Services, State of Georgia. The Procurement Services Department will provide guidance in developing the required forms and documentation for the process.

14.7.1 Request for Quotation (RFQ)

Typically used for purchasing standard products and services, the RFQ process considers price to obtain the best overall value for state government. DOAS provides technical guidance in defining contract specification, performance requirements, and evaluation criteria to assist state entities (the university) in effectively managing contracts after they are awarded.

14.7.2 Request for Proposal (RFP)

Typically used for purchasing complex services, the RFP process considers both quality and price to obtain the best overall value for state government. DOAS provides technical guidance in defining contract performance requirements and evaluation criteria to assist state entities (the university) in effectively managing contracts after they are awarded.

14.7.3 Request for Qualified Contractors (RFQC)

The Request for Qualified Contractors (RFQC) is a two-step method used by DOAS. The RFQC is used to prequalify suppliers who meet a minimum standard of quality, certification, tolerances, or requirements. The resulting prequalified suppliers are then asked to participate in a Request for Quotation (RFQ) or Request for Proposal (RFP). The RFQC is not used to award a contract, but is only used to prequalify the suppliers to participate in another event (RFQ or RFP). The second event (RFQ or RFP) is used to select a supplier for award.

To be able to participate in the RFQC, suppliers must be registered on Team Georgia Marketplace, maintained by DOAS. Team Georgia Marketplace is a web-based system containing a database with the list of all the suppliers registered to conduct business with the state of Georgia.

14.7.4 Request for Information (RFI)

The Request for Information (RFI) is a method used by procurement to gain information for goods and/or services for a future solicitation. With an RFI, participating suppliers respond to specific questions and submit them for review. However, the response does not include pricing information. There is no award with an RFI. The state can use responses to an RFI to develop a Request for Proposal (RFP), Request for Quotation (RFQ), or a Request for Qualified Contractors (RFQC).

14.8 Procurement/Management of Wireless Communications

14.8.1 Background and Policy

Clayton State University, as a unit of the University System of Georgia, is charged with the efficient use of all of its resources. Among other requirements, the Office of Planning and Budget of the State of Georgia, via their Policy Memorandum No. 4 (Revision 8) has directed that each state agency (including University System Institutions) manage and minimize the costs of using telecommunications equipment and services. Each agency (institution) is required to develop a telecommunications policy to control and minimize telecommunications costs. The complete list of areas to be managed under the directive of OPB Memorandum No. 4 may be reviewed at <http://www.clayton.edu/procurement/wirelesscommunications>.

This section will cover wireless communications management. The management of the other areas of telecommunications are the responsibility of the Office of Information and Technology.

Wireless communications management in this section refers to the use of wireless services to make or receive wireless voice calls or data interactions on the public cellular telephone networks. For the remainder of this section, the use of devices to make these calls or interactions will be referred to as Wireless Communications Devices, and may be referenced as WCD's.

14.8.2 Acquisition and Use Policy

Specific university offices will assist as resources to determine the necessity for WCD service and monitor usage.

- The cognizant Vice President, Dean, or Associate Provost shall determine if WCD service is necessary for a faculty or staff member to perform his or her duties;
- The cognizant Vice President, Dean, or Associate Provost will specify authorized and unauthorized uses of wireless or mobile devices (Use of 411, 511, 900, 976 numbers should only be used in emergency situations);
- Procurement Services will maintain the approval justification for each WCD device and service issued or approved;
- Procurement Services will maintain an inventory of WCDs in shared pools and individually-assigned, by type. The inventory of WCDs shall document:
 - Each individual device type
 - The Service Provider for such device
 - The number of the wireless device
 - The monthly service cost
 - The department number
 - The assignee (individual user or organization unit for shared/pool devices)
 - The justification for necessity

- The authorized uses of the WCD

This inventory must be kept current and made available for inspection by authorized offices or agencies;

- The Accounting Services Department will maintain procedures for ordering and payment administration
- The Procurement Services Department must be notified of all changes to assigned WCD/cellular telephones.
- The individual to whom a WCD/cellular telephone is assigned is responsible for safeguarding the equipment and controlling its use. Employees are expected to avoid the use of the equipment under any circumstances where such use might create or appear to create a hazard.

14.8.3 Determining Need

A WCD service may be acquired for an employee where communications needs cannot be met with other available alternatives such as a paging device, a radio, or standard telephone equipment, and funding is available to support the acquisition. There are specific examples of situations where employees may need a WCD. These examples are contained in the link at <http://www.clayton.edu/procurement/wirelesscommunications>. There may be other situations in which an employee may require the use of a WCD, and must be justified as indicated below:

The Vice President, Dean, or Associate Provost will determine need and whether the device should be issued full-time to an individual employee for exclusive use, or be maintained as a part of a shared pool where the device can be used by several employees on an as needed basis. The Vice President, Dean, or Associate Provost will not delegate this responsibility to other personnel. An appropriate airtime package that meets these needs should be selected from an approved contract

14.8.4 Procurement of Wireless Equipment

The employee initiates a request for a WCD and/or service using the **New/Upgrade Cell Phone Request** form. The **New/Upgrade Cell Phone Request** form may be found at <http://www.clayton.edu/procurement/procurementforms>. The request is forwarded to the department/division head and then to the appropriate Vice President, Dean, or Associate Provost for approval. Once approved, a purchase request for WCD/cellular telephone device and/or services should be submitted to the Procurement Office. Wireless devices and services are available under statewide contracts with carriers as noted on the Georgia Technology Authority website for wireless communication contracts. The statewide contracts negotiated by Georgia Technology Authority may be viewed at <http://gta.georgia.gov/wireless-communications-devices-and-services>.

14.8.5 Personal Usage of University Wireless Equipment

University approved WCDs are PRIMARILY for official business use. While incidental personal use is reasonable in order to prevent the employee from carrying two devices, this use should not result in additional charges to the university. If a situation arises that requires extensive or extended use of the WCD for personal calls and/or data use, the staffmember is to notify their Vice President, Dean, or Associate Provost and reimburse the university for those calls that create additional charges. Reimbursement to the university under such circumstances will be submitted to Procurement Services along with a copy of the phone bill indicating the additional cost due to such circumstances. Procurement Services will transmit the reimbursement to the Bursar's Office with an appropriate deposit transmittal form. A copy of this documentation should remain in the user department's files.

If an employee assigned a WCD is terminated or resigns and a determination is made that unauthorized charges have been placed on the WCD account, then the university shall bill the former employee for the amount of the unauthorized charges. The department's Telephone Services Representative should have an invoice issued to the former employee through the Accounts Receivable Department. If the former employee has not received final payroll payment from the university, the amount of the invoice may be withheld from the employee's final paycheck.

14.8.6 Reserved

14.8.7 Monthly Billing/Verification for Wireless Communication Devices

Monthly billing for each WCD is to be reviewed by the designated Procurement Services Representative of the unit to ensure that the appropriate airtime bundle (minutes per month)

has been selected and that no unauthorized additional charges were incurred (i.e. calls, text messaging, downloads, etc.). If the WCD is used in an unauthorized manner, the Vice President, Dean, or Associate Provost will take appropriate disciplinary actions including revocation of the WCD and if required, collect the cost of unauthorized use from the employee. Collection of the cost of unauthorized use is covered in section 14.9.5 above.

14.8.8 Termination of Wireless Communication Devices

If a WCD service is terminated due to any reason, the Procurement Services Department must be notified promptly. The WCD should be turned in at the Procurement Services Department when it is no longer utilized.

14.8.9 Annual Justification for Wireless Communication Devices

The Vice President, Dean, or Associate Provost is required to annually review and approve the continued use of wireless or mobile devices. This approval is part of an annual inventory coordinated each year by Procurement Services. The justification for each WCD must be submitted on an **Annual Cellular Phone Continued Use Authorization** form. This form may be found at <http://www.clayton.edu/procurement/procurementforms>.

15.0 Travel

Introduction: Institutions of the University System of Georgia shall be guided by general travel regulations developed by the State Accounting Officer in cooperation with the Office of Planning and Budget, and as set forth in the Board of Regents Business Procedures Manual. The travel policies and regulations of Clayton State University conform to the regulations and procedures referenced above, and also incorporate more specific procedures and limitations which apply to the employees of the university.

The processing and review of all travel approvals and reimbursements is managed by the Clayton State University Accounting Services Department. The university utilizes PeopleSoft Financials software for processing Travel Expense Reports discussed within this section while obtaining prior approval to travel remains a manual process. Employees not familiar with the use of this on-line software may obtain on-line training by referencing the information available at

<http://www.clayton.edu/accounting-services/expenses/travel/training>

From the link above, select from the options of training Videos and the PSFIN V9.2 Training Module Topics in this section include:

- General Policies and Restrictions
- Travel Regulations
- Travel Procedures for Employees
- Registration Fees and Associated Membership Fees
- Travel Procedures for Non-CSU Employees, Student Employees, and Team/Group Travel
- Relocation Expenses Policy/Procedures
- Travel Scenarios

15.1 General Policies and Restrictions

Clayton State University reimburses travelers for reasonable and necessary expenses incurred in connection with approved travel on behalf of the State.

A necessary expense is one for which there exists a clear business purpose and is within the State's expense policy limitations. A clear business purpose contains all information necessary to substantiate the expenditure including a list of attendees, if appropriate, and their purpose for attending, business topics discussed, or how the expenditure benefited the university.

Establishing policies and procedures for travel expenses enables the university to effectively comply with federal and state regulations. These policies and procedures apply to reimbursements from all State fund sources.

These policies are intended to be guidelines for the reimbursement of all university approved travel expenses. There are several key points to remember when incurring expenses on behalf of the State:

- Under no circumstances should an individual approve his/her own expense report. In most cases he/she should not approve the expense reports of a person to whom he/she functionally or administratively reports. The State Accounting Office does grant a specific exemption for presidents of institutions. The exception is quoted below:

Exception – Presidents of institutions under the umbrella of the University System of Georgia or the Technical College System of Georgia are excluded from the requirement that their expense report must be approved by their immediate supervisor or higher administrative authority. However, processes should still be in place for their expense reports to be reviewed for appropriateness and reasonableness.

- A large number of exceptions or policy violations will increase the likelihood of expense report audits.
- The State will not pay for personal expenses

15.2 Travel Regulations

In requiring employees to travel in the performance of their duties for which there exists a clear business purpose, Clayton State University will reimburse those employees for reasonable and necessary expenses that are incurred (and are within the university's and the state's expense policy limitations) while traveling away from their official headquarters and places of residence. In cooperation with regulations promulgated by the State

Accounting Officer, in cooperation with the Office of Planning and Budget, and the Board of Regents, Clayton State University has adopted the following regulations regarding travel of employees on official business of the University System. It is believed that these travel regulations will protect the best interest of the employee and Clayton State University. Teleconferencing instead of travel should be considered when possible.

The State Accounting Officer is responsible for establishing Statewide Travel Regulations for all agencies, boards, and commissions of the state. Complete information about the Statewide Travel Regulations is available from the State Accounting Office web site at

<http://sao.georgia.gov/state-travel-policy>.

The Board of Regents has further defined the travel regulations for all units of the University System of Georgia. These regulations are detailed in the USG Business Procedures Manual, Section 15. The USG Business Procedures Manual is available at

http://www.usg.edu/business_procedures_manual/section4/.

15.2.1 Travel Authorization

Prior Approvals

Employees required to travel in the performance of their official duties and entitled to reimbursement for expenses incurred shall have prior authorization from (1) their immediate supervisor, and (2) other approvals as required by their department. A specific authorization is required for those individuals who are required to make occasional trips. Specific authorization shall be in such form as to indicate the itinerary, the estimated cost of travel, the mode of transportation, the general purpose of travel, and the name/phone number of a contact person in the requestor's department to be used when the employee is on travel status. International travel must be approved by a higher-level authority.

Employees should fill out the paper Travel Authorization form and acquire approval from the department head or designated official PRIOR to the travel. The Travel Authorization must be included with all expenses related to the travel request. Please do not submit travel authorizations through the Expenses Module at this time. The Travel Authorization form may be accessed at:

<http://www.clayton.edu/accounting-services/expenses/travel/forms>

and selecting Travel Authorization Form. The form is an excel spreadsheet and allows on-line completion and printing of the completed form.

Business Purpose Justification and Explanation Statements

In cases where a submitted expense does not conform to university policy, or if a receipt is lost or missing, an explanation is required when submitting the expense with the Expense module in PeopleSoft. The expense report in PeopleSoft has an available comment field for explanations or documentation of business purpose justifications. Comments must be provided in this field explaining why this exception to policy was necessary, or to describe the missing documentation. The individual's immediate supervisor or higher administrative authority must approve these statements.

Standing Authorization to Travel Within the State of Georgia

In the case of individuals required to travel locally on a regular basis, approval may be in the form of a standing authorization prepared on a fiscal year basis. Standing authorizations are for mileage and parking expenses only. Standing authorizations are prepared and maintained on file by the employee and the Academic Deans or Other Administrators. The standing authorizations must be submitted with each expense report.

15.2.2 Subsistence (Meals and Lodging)

Claims and Allowable Costs**Reimbursement Claims**

Reimbursement claims for subsistence (meals and lodging) are to be reported using the on-line expense report (available in the PeopleSoft Employee Self Service module) by date, location, and amount for each meal and lodging claimed. Meals are reimbursed on a per diem basis, not on actual meal expense unless the actual expense is less than the per diem rate. Below are the per diem rates. An individual taking annual leave while away from headquarters on official business is not entitled to subsistence for the period of the leave. With certain exceptions, reimbursement for subsistence within a 50-mile radius of a person's home office or residence is not allowable. Out-of-state travel expenses for meals and lodging will be reimbursed up to the maximum as allowed by the Federal Per Diem Rates.

Limits on Meal Allowances

The official State of Georgia meal allowance schedule, published at: http://sao.georgia.gov/sites/sao.georgia.gov/files/imported/vgn/images/portal/cit_1210/11/62/174416160SOG_Meal_Allowances_082011.pdf, sets the maximum allowable reimbursement for meals for travel within the State of Georgia.

The federal per diem rates will be used to determine all out of state per diem. Meal per diem rates are based on the city and county in which the employee is located at that particular mealtime.

Calculations in examples used for explanation later in this section are based upon the maximum meal allowances set at the time of publication of this manual. When these official meal allowances change, this manual may not have the examples changed immediately. If that case occurs, the official meal allowances on the web site referenced immediately above will be used in place of the limits in the examples.

The Meal Allowances provide different limits for standard in-state per diem rates and for hi-cost area rates. At the time of publication of this manual, the high cost areas were limited to limited to the following counties: Chatham, Cobb, DeKalb, Fulton, Glynn, and Gwinnett counties. *If these counties are changed on the official web site referenced above, then the new list of counties will control what is considered a high cost area, regardless of examples published below in this section.*

Meals

Meals Associated with Overnight Travel

Employees traveling overnight may be paid a per diem amount designed to cover the cost of three (3) meals per day for all days on travel status **other than the day of departure and the day of return**.

Travelers are eligible for 75 percent (75%) of the total per diem rate on the first and last day of travel. For example on the first day of travel an employee has meals that consist of breakfast/lunch/dinner then the per diem allowance will be $(\$28.00 \times 75\%) = \21.00 .

For trips involving multiple travel destinations, base the reduction on the per diem rate in effect where the night was spent as follows:

- Departure Day: Where you spend the first night
- Return Day: Where you spend the night before returning to home base.

Meals Associated With Non-Overnight Travel

Employees on university business who travel more than 50 miles from their Residence or Primary Work Station on a work assignment, and are away for more than four (12) hours, may receive the total days per diem rate, even when there is no overnight lodging. The per diem rate must be adjusted for any meals **provided** to the employee.

Employees on official business attending luncheon or dinner meetings are entitled to receive reimbursement for actual costs incurred, provided that:

- The purpose of the meeting is to discuss business and the nature of the business is stated on the travel expense report

- The luncheon or dinner meeting is planned in advance and includes persons not employed by the university
- The meal is an integral part of the meeting
- The meal is served at the same establishment that hosts the meeting

Employees who are reimbursed for any of these circumstances are still expected to remain within the authorized meal limits.

Each Dean or Vice President, or their designee, is to determine when an overnight stay is justified.

Day of Departure and Return

Travelers are eligible for 75 percent of the total per diem rate on the first and last day of travel and on single day trips where continuous travel is equal to or greater than 12 hours. For example, if the per diem rate allows a \$28 total reimbursement, \$21.00 $[(\$28 \times .75) = \$21]$ would be allowable on a travel departure or return day.

For trips involving multiple travel destinations, base the reduction on the per diem in effect for where the night was spent as follows:

- Departure Day: Where you spend the night.
- Return Day: Where you spent the night before returning to home base.

When meals are provided at no cost in conjunction with travel events on a travel departure or return day, the full meals per diem reimbursement rate is reduced by the full amount of the appropriate meals after the 75% proration. For example, if the per diem allows a \$28 total reimbursement, and lunch was provided at no cost on a travel departure or return day, the total allowable reimbursement for that day would be \$14 $[(\$28 \times .75) - \$7 \text{ lunch} = \$14]$.

Meals Included in Registration Fees

If any meal is included as a part of the cost of a conference registration, etc., such meal should not be considered eligible in the calculation of per diem and an employee may not receive per diem for the normally eligible number of meals. For example, if conference registration includes breakfast and lunch, the employee will only receive per diem for the dinner meal. Because most conferences, etc., accommodate a variety of dietary needs/restrictions, employees are expected to participate in such meals.

In rare circumstances, an employee may be unable to participate in a conference meal. In such a case, the employee may request the per diem amount associated with the meal purchased. If requesting such reimbursement, a receipt documenting the meal purchase must be attached to the travel expense statement, and a justification for the meal purchase must be indicated on the statement.

Per Diem Allowance for Meals Associated with Overnight Travel Outside Georgia
Employees are considered traveling outside Georgia when their official responsibilities must be performed at an out-of-state location.

Note: Employees who are working in Georgia but lodging in another state are not traveling outside Georgia. Travel to points just beyond the state border necessary for the accomplishment of in-state business shall not be construed as out-of-state travel for the purpose of these regulations.

The federal per diem rates and meal amounts applicable to travel outside of Georgia can be found at the following web sites:

- Federal per diem rates for locations within the continental United States: <http://www.gsa.gov/perdiem>
- Breakdown by meal for federal per diem amounts: <http://www.gsa.gov/mie>
- Federal per diem rates for foreign travel: http://aoprals.state.gov/web920/per_diem.asp
- Breakdown by meal for foreign per diem amounts: http://aoprals.state.gov/content.asp?content_id=114&menu_id=81
- Federal per diem rates for Alaska, Hawaii, and US territories and possessions: <http://www.defensetravel.dod.mil/site/perdiemCalc.cfm>

* **Note:** Use of federal per diem rates for an out-of-state location not defined in the PeopleSoft Financials software requires prior written approval by the institution.

Meals Not Associated with Overnight Travel

Employees traveling for their job who do not stay overnight may be reimbursed for meal expenses under the following situations.

1. Employees acting as an official representative for their department may receive per diem for meals that are an integral part of a scheduled, official meeting. Per diem is only authorized, however, if the meeting is with persons outside the employee's department and if the meeting continues during the meal. Employees are not authorized to receive this per diem if they leave the premises of the meeting site.

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2. Employees may be reimbursed for noon meals that are part of a required registration fee that is paid by the employee.

Note: Statewide Travel Regulations *do not* authorize employees to receive a per diem-based reimbursement for meals purchased during a “lunch meeting” in which the meal and the meeting are one and the same. The registration fee serves as the basis for reimbursement, not the per diem allowance.

3. Employees on state business who travel more than fifty (50) miles from home or headquarters on a work assignment, and are away for more than twelve (12) hours, may receive per diem for the noon meal, even when there is no overnight lodging. In addition to the noon meal, employees who depart prior to 6:30 a.m. are entitled to per diem for breakfast, and employees who return later than 7:30 p.m. are entitled to per diem for dinner. Employees must meet the eligibility requirements outlined above for per diem related to the noon meal before per diem for breakfast and/or dinner will be considered.

Employees who are reimbursed for any of these circumstances are still expected to remain within the authorized meal limits.

Documentation Relating to Meals

Receipts for meals are not required, except when requesting reimbursement in lieu of a meal provided within a conference registration fee due to dietary needs/restrictions. Times of departure (for the day of departure) and return (for the day of return) should be noted on the employee expense report to substantiate meals eligible for payment of per diem. All meals included as a part of conference registration fees, etc., should be noted on the expense report. Meal expenses incurred that exceed the authorized per diem amounts due to travel in high cost areas or out-of-state should be itemized separately and explained on the expense report, and are eligible for reimbursement as determined by the Accounting Services Department.

Meal Expenses Incurred While Taking Leave

Employees who take annual leave while on travel status may not be reimbursed for meal expenses incurred during the period of leave.

Employee Group Meals

Under certain infrequent circumstances, employees may be required to remain at the work site during mealtime. Such circumstances include emergency situations, but may also include intra-departmental meetings or training sessions where the

meeting or training session extends beyond the meal times and the employees are not permitted to leave the premises of the meeting site.

Under these and similar circumstances, organizations may purchase meals for the affected employees. Purchase of such meals should be approved by a higher-level approving authority prior to the date of the event (for non-emergency situations). Such expenditures are limited to the purchase of meals and necessary beverages only (this does not include snacks). Meal limits outlined in the *Statewide Travel and Expense Policy* must be adhered to. Meal expenses associated with meetings/training sessions must be documented with receipts and a copy of the formal written agenda. In all instances, the employee for whom meals were purchased must include a list of attendees with the request for payment.

These meals should be coded to expense type “Group Meals”. This account will be subject to special audit scrutiny to ensure that such expenditures are infrequent, rather than routine.

Non-Employee Group Meals

Meals may be provided to individuals who are not employed by the State under the following circumstances (**all criteria must be met**):

- Such individuals are serving in an advisory capacity or providing pro bono service to a State organization.
- A meal is required because the timing of the meeting/service is such to allow for adequate travel time to the meeting site in the morning, and return to residence in the afternoon, so as to avoid unnecessary travel expenses (overnight stay) on the part of the participants.
- The meal is approved by a higher-level approving authority prior to the date of the event. Such expenditures are limited to the purchase of meals and necessary beverages only (does not include snacks). Meal limits outlined in the *State of Georgia Statewide Travel Policy* must be adhered to.

These meals should be charged to the expenditure account, “Group Meals”. A copy of the meeting agenda or description of the service activity (with appropriate approval) should be included as backup documentation and attached as a receipt with the request for payment. Additionally, a general description and the total number of people that will be attending the activity (e.g., advisory board members, local government leaders, etc.) should be attached.

This account will be subject to special audit scrutiny to ensure that such expenditures are infrequent, rather than routine. This Policy does not allow the purchase of meals for a “lunch meeting” in which the meal and the meeting are one in the same.

Special Meals

Reimbursement designed for those occasions when, as a matter of extraordinary courtesy or necessity, it is appropriate and in the best interest of the State to use public funds for provision of a meal to a person who is not otherwise eligible for such reimbursement and where reimbursement is not available from another source. Requests should be within reason and may include tax and tips. Itemized receipts are required.

Examples include:

- Visiting dignitaries or executive-level persons from other governmental units, and persons providing identified gratuity services to the State. This explicitly does not include normal visits, meetings, reviews, etc., by federal or local representatives.
- Extraordinary situations are when State employees are required by their supervisor to work more than a twelve-hour workday or six-hours on a non-scheduled weekend (when such are not normal working hours to meet crucial deadlines or to handle emergencies).

All special meals must have prior approval from the Vice President of Business & Operations unless specific authority for approval has been delegated to a department head for a period not to exceed one fiscal year.

Lodging

Regulations Governing Lodging Costs

Employees who travel more than 50 miles (and outside the county) from their home office, residence, or headquarters may be reimbursed for lodging expenses associated with approved overnight travel.

Employees will be reimbursed for the actual lodging expenses, provided the expenses are reasonable. Employees who stay at a hotel/motel that is holding a scheduled meeting or seminar may incur lodging expenses that exceed the rates generally considered reasonable. The higher cost may be justified to avoid excessive transportation costs between a lower cost hotel/motel and the location of the meeting. When the conference does not have an official hotel, the traveler is required to obtain a property within reasonable proximity to the conference.

It is expected that reservations will be made in advance whenever practical, that minimum rate accommodations will be utilized, that "deluxe" hotels and motels will be avoided, and that corporate/government rates will be obtained whenever possible. Many hotels and motels grant commercial rates upon request to state employees who show identification. These rates may be exceeded, but must be justified. For example, if an employee stays at a higher cost hotel where a meeting is held in order to avoid excessive transportation costs between a lower cost hotel

and the location of the meeting, or for the safety of the individual, then these costs are justified.

Authorization for Lodging within the 50-Mile Radius

On occasions, the university is required to sponsor conferences, trade shows, and other functions which require personnel to work at the event. Also on occasion, the university may sponsor employee retreats that require groups of employees to be present at an off-site location. In many cases, the employees involved in these activities reside or work less than 50 miles from the scheduled meeting site. In addition to mileage, affected employees may be reimbursed for meals and lodging in accordance with the provisions of the Travel Regulations.

It should be noted that this provision only applies to conferences and other institution sponsored events that occur. This provision does not authorize persons to claim travel reimbursement for activities which are part of their normal responsibilities. In addition, this provision would not apply for persons who are required to attend evening meetings as part of their normal responsibilities.

Georgia's "Green Hotels" Program

The Georgia Department of Natural Resources has developed a program to identify and certify lodging properties that are taking significant steps to reduce their demands on Georgia's natural resources and to act as good corporate citizens. These certified "Green Hotels" meet a stringent standard for environmental stewardship and operational efficiency. By using less toxic cleaning and maintenance chemicals, these hotels provide healthier conditions for guests and employees.

When traveling on state business and hosting meetings, state employees are encouraged to explore opportunities to support these properties where cost-competitive. The current list of certified properties is available at the following web site:

<http://www.greenseal.org/FindGreenSealProductsandServices/HotelsandLodgingProperties.aspx>.

Georgia Excise Tax

Section 48-13-51 of the Official Code of Georgia Annotated exempts Georgia state or local government officials or employees traveling on official business within the State of Georgia from paying the county or municipal excise tax on lodging. However, sales tax should continue to be charged since the payment of the hotel or motel bill by employees is not considered to be payment directly by warrant on state appropriated funds. This tax exemption should be explained at the time reservations are made.

Some difficulty may be encountered in communicating with the hotel or motel that state employees are exempt from the excise tax. The **Georgia Hotel/Motel Tax Exemption** form should be presented to the hotel or motel to provide documentation that the identified employee is on official state business and qualifies for exemption. The form can be printed from the Clayton State University-Accounting Services web site. A link to the form is provided at: <http://www.clayton.edu/accounting-services/expenses/travel/forms>. It should be noted that the provisions of this exemption only apply to lodging expense incurred while traveling on official business and that any personal lodging expense (even if incurred at the same hotel or motel, before or after the official business-related travel) would not qualify for the exemption.

If the hotel refuses to accept the tax-exempt form at check-in, the employee should attempt to resolve the issue with the hotel management before checking out at the end of their stay. If the matter is not resolved by the time the employee checks out, the employee should pay the tax. Clayton State University will reimburse the employee for the hotel/motel tax if the employee provides CSU with the following information: employee name, date(s) of lodging, name, address, telephone number of hotel, and documentation from the hotel/motel of their refusal to omit the excise tax. The employee should explain the payment of the tax as an unusual expense on their on-line expense report.

Shared Lodging

When employees on travel status share a room, reimbursement will be calculated, if practical, on a prorated share of the total cost. When a state employee on travel status is accompanied by someone who is not a state employee on travel status, the employee is entitled to reimbursement at a single-room rate.

Lodging Expenses Incurred While Taking Leave

Employees who take annual leave while on travel status may not be reimbursed for lodging expenses incurred during the period of leave.

Other Charges on Lodging Receipts

- **Resort and Other Fees:** Some hotels include a charge for “resort” or “other fees”. These are not tax-exempt fees and should be reimbursed as an eligible lodging expense.
- **Internet Usage Charges:** Employees may be reimbursed for work-related Internet usage charges. These charges should be separately identified on the itemized hotel/motel bill, but should not be listed on the travel expense

statement as “lodging.” Rather, these charges should be treated as miscellaneous expenses, included in the “voice/data communications” section of the travel expense statement.

Required Documentation

Daily lodging expenses, including applicable taxes, must be itemized on the employee travel expense statement. Employees requesting reimbursement for lodging expenses are required to submit paid receipts with their expense statement.

In addition, any expenses that exceed the maximum reasonable rates established by the respective institution should be explained on the travel statement. Individuals responsible for approving travel expenses should review these explanations to determine whether the higher costs are justified and allowable.

15.2.3 Transportation

The Georgia Legislature in its 2005 special session passed Senate Bill 1 EX, amending OCGA 50-19-7 and tying the mileage reimbursement rate for use of a personal motor vehicle to the rate established by the United States General Services Administration (GSA) pursuant to the Federal Travel Regulations Amendment 2005-01 as of July 1, 2005, or subsequently amended. These GSA rates are based on a determination of the most advantageous form of travel. Advantageous use may be determined based on energy conservation, total cost to the state (including costs of overtime, lost work time, and actual transportation costs), total distance traveled, number of points visited, and number of travelers. Documentation of the determination of “advantageous use” should be retained for audit purposes.

The timing of the adoption of revised GSA rates is controlled by the State Accounting Office and the Office of Planning and Budget (OPB). These two offices are responsible for establishing and updating the Statewide Travel Regulations. This responsibility was assigned to these organizations through House Bill 293 which was passed into law during the 2005 legislative session.

Useful links:

General Services Administration: <http://www.gsa.gov/pov>

DOAS Vehicle Cost Comparison Tool: <http://www.clayton.edu/accounting-services/Expenses/Travel/Links>

Vehicle Transportation

Vehicle Use Regulations

A traveler will be authorized to choose between a university owned vehicle, a personal vehicle and common carrier after careful analysis of the distance, timeliness and overall costs of a trip. Reimbursement for the most economical mode of transportation, consistent with the purpose of the travel, will be authorized.

A university employee is only authorized to use his or her personally owned vehicle under one of the following circumstances:

- A university owned vehicle is not available and the personally owned vehicle is the least expensive option or the total distance traveled is less than 100 miles.
- The supervisor determines, and documents in writing, that use of the least expensive option is clearly not efficient. Travelers should obtain supervisory authorization for use of a personally owned vehicle in advance of such use.

While driving your personal vehicle on university business, the university provides full liability coverage and personal immunity for the employee for damages and injuries the employee may cause to others. The university does not provide coverage for damages to your personal vehicle. Cost of repairs to a personal vehicle, whether or not they result from the traveler's acts, are not reimbursable.

Under no circumstance will the university reimburse parking fines or moving violations.

Any reimbursement of mileage claims paid to an employee in excess of rates stipulated in the Policy must be refunded to the university or characterized as taxable compensation to the employee.

Use of University Owned Vehicles

When traveling more than 100 miles round trip, employees should first check the availability of university owned vehicles as this is the preferred mode of transportation. A **Request for Clayton State University Vehicle Use** form should be completed with required approvals. The form may be found on the Facilities Management web page at <http://www.clayton.edu/facilities/services/vehiclerequest>. Access to the form requires a userid and password. The userid and password are the same as which

you use to log into the university email. There is no reimbursement associated with this mode of travel, however, your department will be charged a per mile fee. Fuel purchases for university owned vehicles must be made using the fuel card provided with each vehicle. If a university owned vehicle is not available and the round-trip mileage is greater than 100 miles, then a cost analysis should be made to determine if use of a rental vehicle is more advantageous to the university than use of a privately-owned auto.

Reimbursement for Use of Personally Owned Vehicle

Reimbursement for transportation expenses incurred when using personally owned vehicles will be at the legally authorized rate per mile for the actual number of miles traveled in the performance of official duties. As indicated above, the reimbursement rate is tied to the rate established by the United States General Services Administration. The following rates are in effect:

Tier 1 Rate. When it is determined that a personal motor vehicle is the most advantageous form of travel, the employee will be reimbursed for business miles traveled as follows:

Automobile	\$0.535 per mile
Motorcycle	\$0.505 per mile
Aircraft	\$1.15 per mile

Tier 2 Rate. If a government-owned (CSU owned or DOAS motor pool) vehicle is available, and its use is determined to be most advantageous to the state, **OR** if it is determined (through institution policy or otherwise) that a rental vehicle (Statewide Rent-a Car contract) is the recommended method of travel, but a personal motor vehicle is used, the employee will be reimbursed for business miles traveled at the rate of \$0.17 per mile.

Limitations and Requirements for the Use of Personal Vehicles

- For all mileage reimbursements over 100 miles round trip that are requesting the Tier 1 rate, documentation that a university owned vehicle was not available for the requested travel dates must be provided. Also documentation that a rental vehicle was not the most cost-effective mode of transportation must be provided.
- If a personal vehicle was used after determining a university owned vehicle was available, or after determining a rental vehicle was the most advantageous to the state, then reimbursement will be at the Tier 2 rate per mile.

- If an employee elects to drive a personal vehicle without checking for the availability of a university owned vehicle, then the employee will be reimbursed at the Tier 2 rate per mile.

It should be noted that a change in the GSA rate does not automatically change the rate for the State of Georgia. The State of Georgia rates are changed only upon notification from the State Accounting Office/Office of Planning and Budget via the SAO web site.

The mileage reimbursement encompasses all expenses associated with the operation of a personal motor vehicle, with the exception of tolls and parking expenses, which are reimbursed separately. Normal commuting miles must be deducted when calculating total mileage reimbursement.

Determination of Business Miles Traveled

Employees may be reimbursed for the mileage incurred from the point of departure to the travel destination, less the normal miles traveled to work location each day. If an employee departs from headquarters, mileage is calculated from headquarters to the destination point. If an employee departs from his/her residence, mileage is calculated from the residence to the destination point, with a reduction for normal commuting miles. For the return trip, if an employee returns to headquarters, mileage is calculated based on the distance to such headquarters. If an employee returns to his/her residence, mileage is calculated based on the distance to the residence, with a reduction for normal commuting miles. Employees whose normal business function requires the use of a personal motor vehicle for travel from residence to multiple locations in a given day, or when an employee's "headquarters" differ from day to day should note on their Request for Authorization to Travel where their headquarters is located. It should not differ from one authorization to other authorizations.

Exceptions:

- If travel occurs on a weekend or holiday, mileage is calculated from the point of departure with no reduction for normal commuting miles.
- If an employee does not regularly travel to an office (headquarters) outside of his/her residence (i.e., residence is "headquarters"), the requirement to deduct normal commuting miles does not apply.

Note: This exception does not apply to those operating under the university's telework policy.

Employees may also be reimbursed for business miles traveled as follows:

- Miles traveled to pick up additional passengers
- Miles traveled to obtain meals for which employee is eligible for reimbursement

- Miles traveled to multiple work sites

Example 1: Employee's normal commute is 15 miles one way. Employee is required to travel to job site 40 miles from headquarters. Employee drives to headquarters, then to remote site, then back to headquarters before returning home. Employee's business miles traveled are 80 miles.

Example 2: Employee's normal commute is 15 miles one way. Employee is required to travel to job site 18 miles from headquarters. Employee drives to headquarters, then to remote site, then home, which is 19 miles from remote site. Employee's business miles traveled are 22 miles, as follows: from headquarters to remote site, 18 miles; from remote site to residence, 19 miles minus 15 miles one-way normal commute.

Example 3: Employee's normal commute is 15 miles one way. Employee leaves from home to attend a conference 200 miles from the employee's residence. At the conclusion of the conference, the employee returns directly home. Employee's business miles traveled are 370 miles (400 actual miles traveled minus 30 round-trip commuting miles).

Example 4: Employee's normal commute is 15 miles one way. Employee leaves from headquarters on Monday for a remote work site 150 miles from headquarters. Employee acquires lodging 5 miles from remote work site. Employee returns to headquarters on Friday. Employee's business miles traveled are 340 miles, as follows: from headquarters to remote site, 150 miles; from remote site to lodging on Monday, 5 miles; from lodging to remote site and back to lodging Tuesday – Thursday, 10 miles each day (30 miles); from lodging to remote site on Friday, 5 miles; from remote site back to headquarters, 150 miles.

Prohibited Mileage Reimbursement

Employees are not entitled to mileage reimbursement for travel between their place of residence and their official headquarters, or for personal mileage incurred while on travel status.

Recording Mileage Driven

Actual odometer readings are not required however a printout from MapQuest, Yahoo Maps, or Rand McNally is required in order to provide sufficient documentation of the distance traveled. Personal/Commuting mileage will be excluded in determining the mileage for reimbursement. Claims exceeding mileage computed by the most direct route from the point of departure to the destination (due to field visits, picking up passengers, etc.) must be explained on the on-line expense report.

Parking/Tolls

The authorized mileage rate is to include the normal expenses incurred in the operation of a personal vehicle. In addition, parking and toll expenses will be paid for official travel in a personal or state vehicle. Low-cost long-term parking or automobile storage should be utilized. Receipts for parking and toll expenses should be provided when possible. If receipts are not available, an explanation must be included in the on-line expense report. Receipts are required for parking and toll expenses if the expense exceeds \$25.00.

Rental Vehicles

Use of commercially leased vehicles will be left to the discretion of the supervisor and must be approved prior to departure. Commercially leased vehicles may be obtained from the state contracted rental agency according to the conditions of the State Contract issued by the State Purchasing Office of the Department of Administrative Services. This contract can be accessed at the following internet address:

http://www.enterprise.com/car_rental/deeplinkmap.do?bid=028&refId=FOXGALB.

Employees will be reimbursed for costs associated with official use of such vehicles. Personal accident insurance on rental vehicles is not reimbursable. Employees who are able to obtain lower rates through other companies should use the other companies to rent vehicles. These lower rates should be documented with on-line comparisons. Employees traveling on state business in a rented motor vehicle are covered by the State’s liability policy; therefore, liability coverage should be declined when renting a motor vehicle. Loss Damage Waiver/Collision Damage Waiver (LDW/CDW) insurance is included in the statewide contract at no additional cost. If renting from a company that is not on the state-wide contract, Loss Damage Waiver/Collision Damage Waiver insurance may not be included. DOAS Risk Management Services may be contacted if additional information is needed. Employees requiring the use of commercially leased vehicles will be reimbursed for gasoline purchases associated with the business use of such vehicle, provided appropriate receipts are included.

State of Georgia Policy on Additional Insurance

When to Purchase Additional Rental Car Insurance

	Automotive Damage Insurance	Physical Liability on Vehicle	Insurance
GA Statewide Rental Car Contract Vendors - All Locations	NO	NO	
Non-Contract Rental Car Vendor All Locations	YES	NO	

Employees that elect to rent a motor vehicle (commercially leased vehicle) while traveling outside the state of Georgia should identify the lowest available rates when contracting for such a vehicle. Use of commercially leased vehicles will be left to the discretion of the supervisor and must be approved prior to departure. Use of a rental vehicle must be justified by cost comparison to alternate public and commercial transportation, such as bus service, taxi service, airport van service, etc. This cost comparison must be provided with the travel report.

Ride Share

Employees sharing a ride with another state employee using either a state or personal vehicle, and not claiming reimbursement for mileage, should indicate in the automobile record section of the on-line expense report the name of the person they rode with and the dates of the trips.

Travelers with Physical and/or Medical Conditions

The impact of travelers with physical and/or medical conditions, while on university travel, should be considered on a case-by-case basis. Compliance with the Americans with Disabilities Act (ADA) is mandatory. Each department has the authority to provide reasonable accommodations during university travel for employees with disabilities.

All university employees are to be afforded equal opportunity to perform travel for official university business even if the travel costs for disabled travelers will exceed what would normally be most economical to the university.

Commercial Air Transportation

Regulations Governing Use of Commercial Air Transportation

Employees should utilize commercial air transportation when it is more cost effective and efficient to travel by air than by vehicle. Employees who require air travel should obtain the lowest available airfare to the specified destination, which may include the use of the internet or a travel agency. Below are a couple of sites that provide airfare rates.

<http://www.kayak.com/>

<http://www.priceline.com/flights/>

<http://www.expedia.com/>

Reimbursement will be made upon presentation of a ticket stub, receipt, or other documentary evidence of expenditure along with the on-line expense report upon completion of trip. According to law (1978 S.B. 73, Act 1369), officials or employees traveling by commercial air carrier will not be reimbursed for that portion of non-coach (first-class, business class) air fare which exceeds the cost of the lowest fare for the flight on which such official or employee is traveling unless:

- space is not otherwise available;
- a licensed medical practitioner certifies that because of a person's mental or physical condition specific air travel arrangements are required; or
- the Commissioner of Public Safety certifies that specific air travel arrangements are necessary for security reasons.

Prior written approval by the Vice President for Business & Operations is required on the above exceptions. For medical conditions, the Vice President for Business & Operations must be provided with the necessary medical certifications for any employee who requires special air travel arrangements due to medical conditions. The certification should also specify the expected length of time such conditions would have an impact on travel needs. These certifications must be available for examination so that auditors can readily determine who is subject to these special travel provisions.

Note: Employees who choose to travel by personal vehicle when air travel is more cost-effective should only be reimbursed for the cost of the lowest available airfare to the specified destination. Department budget managers are responsible for determining lowest costs.

Travelers on university business may open and maintain frequent flyer/guest accounts with airlines, car rental companies, and other travel suppliers. Any cost of these memberships is the responsibility of the traveler and will not be reimbursed by the university. Travelers may retain promotional items, including frequent flyer miles, earned on official university travel. However, if an employee makes travel arrangements that favor a preferred airline/supplier to receive promotional items/points and this circumvents purchasing the most economical means of travel, they are in violation of this policy.

Connecting flights should be chosen over nonstop flights when the connection does not add more than two hours to travel time and the connection saves \$200 or more. Travelers are not required to take a lower fare if a change of airline at the connection point is required.

Baggage Charges

Most airlines are charging for checked luggage and for curbside check-in. In the event there is a charge for checking the traveler's first piece of luggage, the university will reimburse for that charge. The university will not reimburse for additional pieces of luggage unless an appropriate business explanation is provided.

Baggage charges incurred for excess weight will not be reimbursed, unless an appropriate business purpose explanation is provided.

The university purchasing card may **not** be used to make payment for checked luggage.

Upgrades to Non-Coach Travel

State officials or employees may, at any time, use personal frequent flyer miles or similar programs to upgrade to non-coach travel. In addition, nothing in this policy shall preclude a state official or employee from personally paying for an upgrade to non-coach travel.

For purposes of conducting official state business, state officials or employees may negotiate or arrange for upgrades to non-coach travel with individual commercial carriers if (1) the flight is international and over five hours in duration, and (2) the carrier agrees not to charge any additional cost to the state.

Indemnification Received Due to Travel Inconveniences Imposed by Airlines

Occasions may arise when airlines overbook, change, delay or cancel flights, thereby imposing travel inconveniences on their passengers. In these instances, airlines often offer the impacted passengers indemnification for these inconveniences. Examples of indemnification that may be offered by an airline include vouchers for meals or lodging, upgrades to non-coach travel, and credits toward future flight costs. State employees are authorized to accept such indemnification if the travel inconvenience was imposed by the airline and there is no additional cost to the state.

Airline Cancellations

Penalties and charges resulting from the cancellation of airline reservations (or other travel reservations) shall be the institution's obligation if the employee's travel has been approved in advance and the cancellation or change is made at the direction of and for the convenience of the institution. If the cancellation or change is made for the personal benefit of the employee, it shall be the employee's obligation to pay the penalties and charges. However, in the event of accidents, serious illness, or death within the employee's immediate family, or other critical circumstances beyond the control of the employee, the institution will be obligated to pay the penalties and charges.

Fees for Changes in Flights

Most airlines charge an additional fee for changes in flights. Employees should make every effort to avoid changes, but if an additional fee is imposed for rescheduling, this becomes part of the travel expense and is reimbursable. The reason for the change must be documented. If the airline ticket is not used at all for reasons beyond the control of the employee, the employee may be reimbursed (with the approval of his/her supervisor), but this would not be considered a travel expense. The reason for the ticket not being used must be documented.

Airline Departure and Return

When traveling by common carrier to conduct official state business, employees traveling to their destination earlier than necessary and/or delaying their return to avail the institution of reduced transportation rates may be reimbursed subsistence for additional travel days if, in the opinion of the appropriate authority, the amount saved in transportation costs due to the early and/or delayed travel is greater than the amount expended in salary and additional subsistence. Prior written approval by the Accounting Services Department is required.

Airline Reservations

Travel plans should be made as far in advance as possible, once travel dates have been confirmed. To obtain discount rates, all flights should be booked at least 14 days in advance. Flights booked with less than 14 days advanced purchase are more costly and require a written explanation for the booking delay. The explanation must be provided to the approver; who may deny charges that result from last minute airline booking,

In order to avoid change fees and manage cash flow, travel should not be booked more than 30 days in advance, when practical.

For International advanced booking, approval from the Vice President of the division or in the case of a Vice President the President must approve booking the flight in advance of 30 days.

Airline reservations can be handled by most travel agencies. Many travel agencies now charge fees for issuing tickets. These fees, if reasonable, are part of the cost of travel. Employees may, therefore, be reimbursed for such costs. Employees are strongly encouraged to use the internet in order to avoid travel agency fees whenever practical.

Employees should use electronic ticketing, when available, to avoid any surcharge associated with hard-copy tickets.

Travel agencies used for making travel arrangements should not be related (by ownership) to the employee making, authorizing, or approving the arrangements. The travel agencies should also not be related to the employee actually traveling. A "related" party would include any members of the employee's family or any organizations in which the employee or his/her family members have a financial interest. The purpose for not using such travel agencies is to maintain the institution's integrity in financial matters.

Fly America Act

Airline travel reimbursement on federal and federal pass-through sponsored agreements is subject to the requirements found in the Fly America Act (49 U.S.C. 40118), which requires federal employees and others performing U.S. Government financed travel to use U.S. flag carriers for all air travel funded by the United States Government unless U.S. carriers are unavailable. This includes U.S. federal government employees and their dependents, consultants, contractors, grantees, and others.

Note: U.S. flag air carrier service is considered available even if:

- A foreign air carrier would be at less cost to the traveler or institution; or,
- A foreign air carrier would be more convenient to the traveler.

Private Aircraft Transportation

The use of aircraft owned, rented or operated by a traveler on university business is strongly discouraged. If it is determined that the use of this type of aircraft is advantageous (cost-efficient and practical) to the university, written pre-approval should be obtained and an explanation must be noted in the comments section of the Expense report. The approval should be submitted with the traveler's Expense report. In the comments section of the Expense Report the employee should add the following comment: "traveled by private aircraft; registration number *Nxxxx*, *mileage calculated [state source here]*. *Examples are Nxxxx, mileage calculated from US DOT website, or Nxxxx, mileage calculated from official state of Georgia highway map.*

Reimbursement for the use of a private aircraft is calculated per mile based on the current reimbursement rate which can be found on the SAO website. This rate follows the published GSA rate. For calculating mileage between airports, please visit the U.S. Department of Transportation Inter-Airport Distance website. For trips not listed on the website, a reasonable alternative should be used, eg., an official highway map. Airplane nautical miles (NMs) should be converted into statute miles (SMs) or regular miles when submitting a voucher using the formula (1NM equals 1.15077945 SMs).

If a traveler opts to use a personal aircraft when use of a commercial aircraft would be the most economical and advantageous for the university, the traveler will be reimbursed up to the value of the commercial airfare (lowest coach fare).

Miscellaneous Transportation

Travel by Railroad

Employees may be reimbursed for the actual cost of rail transportation, provided the appropriate personnel authorized the travel expense in advance. Employees traveling by rail are encouraged to obtain the lowest possible fare. There is no statewide contract for transportation by rail.

Mass Transportation

Transportation by bus, taxi, or airport van will be reimbursed between the individual's departure point and the common carrier's departure point; between the common carrier's arrival point and the individual's lodging or meeting place; and between the lodging and meeting places if at different locations. It is expected that airport vans will be utilized when available, when arrival or departure is during daylight hours, and when they are the lowest cost alternative. If the cost is less than \$25.00, receipts are not required for such items of transportation. A point-to-point explanation is required for each such item reimbursed.

Required Documentation of Expenses

All travel by rented or public transportation must be recorded on the on-line expense report. Employees requesting reimbursement must submit receipts for travel by commercial air carrier or railroad and for the cost of rental vehicles (including the cost of gasoline purchased). Although receipts are recommended, employees are not required to submit receipts for travel by mass transportation, taxi, or airport vans unless such costs exceed \$25.00. However, a point-to-point explanation is required for each item reimbursed. All transportation expenses should be itemized within the on-line expense report.

15.2.4 Miscellaneous Expenses

Reimbursable expenses include but are not limited to the following:

- Business office expenses (copy services, postage, supplies) and business-related phone calls, faxes and internet fees
- Conference/Registration fees
- Costs related to passports and travel visas when necessary to accomplish the official business purpose of the trip
- Currency conversion fees
- Baggage handling services
- Laundry or cleaning expenses on trips lasting seven (7) days or more

Registration Fees

Registration fees required for participation in workshops, seminars or conferences which an employee is directed and/or authorized to attend will be allowed when supported by a paid receipt or copy of a check showing payment. Any part of registration fees applicable to meals will be reported as a meal expense and not as a registration fee, if the costs can be separately identified. Registration fees may be prepaid. See Section 15.15.1 on Registration Fees for additional instructions and payment options

Baggage Handling Services

Employees may be reimbursed for expenses associated with baggage handling services (portage) when an expense is actually incurred in moving luggage into or out of lodging places, common carriers, and/or airports, and when such expense was necessary. Employees should not be reimbursed for such expenses when they choose to use baggage handling services as a convenience to the employee.

Most airlines are now charging for checked luggage and for curbside check-in. Baggage charges incurred for excess weight will not be reimbursed, unless an appropriate business purpose explanation is provided. In the event there is a charge for checking luggage, the State will reimburse for a maximum of one (1) piece of checked luggage.

Telephone/Telegraph/Fax Expenses

Employees may be reimbursed for expenses incurred for work related telephone, telegraph, and fax messages. Employees must document these claims using the on-line expense report, and indicate the location from which each call was made, the person contacted, and the reason for the communication. Personal calls made while on travel status are not reimbursable.

Stationery/Supplies/Postage Expenses

Expenditures for stationery, supplies, stenographic, or duplicating services may be reimbursed, provided the expense is directly associated with a work-related project and the cost is reasonable. In addition, work related postage expenses may be reimbursed. Employees requesting reimbursement for these expenses must document actual expenses on the on-line expense report and explain the purpose for these expenses.

Visa/Passport Fees

When travel required by an employer necessitates the use of a passport and/or visa, and the employee does not currently possess such valid document(s), the related visa/passport fee is eligible for reimbursement when documented by a receipt.

Internet Usage Charges

Employees may be reimbursed for work-related internet usage charges. These charges should be separately identified on the itemized hotel/motel bill, but should not be listed on the expense report as “lodging.” These charges should be included in the “All Other Miscellaneous Expense” section of the on-line expense report.

Unallowable Expenses

The following expenses are not reimbursable unless specific legal authority has been established:

- Airline, car, and card membership dues and club fees; travel upgrade fees (air, rail, car)
- Alcoholic beverages
- Bank charges for ATM withdrawals, except on international travel
- Childcare costs
- Clothing or toiletry items
- Commuting between home and workplace
- Country Club dues
- Expenses related to vacation or personal days taken before, during or after a business trip
- Haircuts and personal grooming
- Laundry, cleaning, pressing costs for trips of less than seven days
- Loss Damage Insurance when State agency is available and another auto agency is utilized
- Loss or theft of cash advance money or airline tickets
- Loss or theft of personal funds or property
- Lost baggage
- Luggage or briefcases
- Medical expenses while traveling
- Mini-bar charges
- Movies
- Rental Vehicle Maintenance (including car washes)
- TSA PreCheck Application Fee
- No-show/Cancellation fees or fees related to hotel late check-out (unless business or weather related)
- Personal reading materials (magazines, newspapers, etc.)
- Personal vehicle maintenance
- Personal entertainment
- Personal Pet care
- Recreational expenses
- Saunas, massages
- Shoe Shines

- Souvenirs or personal gifts
- Traffic citations (moving violations), parking tickets, court fees and other fines
- Travel accident insurance premiums
- Valet services for parking, when self-parking options are available, unless there are valid security reasons

Restrictions Upon Combining Personal Travel with State Business Travel

For in-state and out-of-state trips that combine personal travel with state business travel, reimbursement will not exceed the amount of what it would have cost the state if the traveler did not combine personal travel with business travel. Combining State travel with personal travel does not in and of itself provide justification for using a private vehicle rather than a state-owned vehicle.

For out-of-state trips between points where scheduled airline service is available and where travelers are combining official state travel with a holiday, weekend trip, vacation or other personal travel, payment will be based on the cost of round-trip coach airfare and the meal and lodging per diems to which personnel would have been entitled while traveling by air or by the least expensive reasonable means of travel. The employee must provide a written analysis with justification for the expenses to be reimbursed. The analysis should include references to round-trip coach airfare with associated meal and lodging costs for the trip without personal travel. This written analysis/justification must be approved by the employee's supervisor.

15.2.5 Reimbursement Procedures

Responsibility for Processing

Responsibility for appropriate audit, approval, and reimbursement of employee's on-line expense reports is vested in the Accounting Services Department. Each expense report must be approved by the authorized department budget manager before the Human Resources System will route the expense report to the Accounting Services Department. CSU Accounting Services Department personnel will process completed and approved expense reports in an expeditious manner.

Prior Approval Amount Limits

In cases where the prior approval denotes a pre-authorized amount, reimbursement will not exceed this authorization unless specifically approved by the Department Budget manager. Expense reports cannot be resubmitted at a later date or at year-end for additional reimbursement.

Submission by Employee and Time Constraints

The expense report should be submitted online (using the PeopleSoft Employee Self Service module) within 30 days of completion of the trip. Submit original receipts and cost comparisons to the Accounting Services Department, and keep copies for

departmental files. Note that IRS regulations require the expense report be completed within 60 days of trip completion. Expense reports received after 60 days of the completion of the travel may be paid only with Cabinet Level approval. Due to year-end closeout procedures, a specific processing deadline date will be established during the last quarter of the fiscal year. Expense reports received after the deadline date will not be subject to reimbursement in the current fiscal year. Expense reports received after the deadline date will not be charged to the subsequent fiscal year without Cabinet Level approval.

Processing Time by Accounting Services Department

Reimbursements are processed within 5-10 business days. However, this depends on the report being submitted in the system and all documentation (receipts and hard copies of report) being received in the Accounting Services Department. Employees may review the status of expense reports on-line via the PeopleSoft Expense Module through Employee Self Service.

Distribution of Funds

Reimbursements are distributed according to the banking information entered in Payroll through ADP.

15.3 Travel Procedures for Employees

15.3.1 Request for Travel Authorization

Travel trips are not authorized until the **Travel Authorization** is properly approved. A specific authorization is required for each trip with the exception of employees covered by standing travel authorizations.

The format of the **Travel Authorization** form is self-explanatory. Employees should fill out the paper Travel Authorization form and acquire approval from the department head or designated official PRIOR to the travel. The Travel Authorization must be included with each expense report. The **Travel Authorization** form may be accessed from the Accounting Services Travel Forms web site at this link: <http://www.clayton.edu/accounting-services/expenses/travel/forms>. The **Travel Authorization** form can be completed on-line, and printed for use in the approval process. Please do not submit travel authorizations through the Expenses Module at this time.

The **Travel Authorization** form should be completed and submitted to allow time for all required approvals to occur at least ten working days prior to the anticipated travel. The employee will be notified of the approval.

Upon returning from a trip, the employee should submit a completed on-line expense report. The submission of the on-line expense report is covered in section 15.3.2 below. (See the introduction page in this section for information about training to use the

Employee Self Service module.) The on-line report will be automatically routed to the department budget manager. The department budget manager should review the expense report for accuracy and compliance with travel regulations. If the report is in order, the form should be approved and routed to the Accounting Services Department.

15.3.2 Travel Cash Advance

O.C.G.A. 45-7-25 and 45-7-26 authorizes the payment of travel advances to employees of all State agencies, and charges the Director of the Office of Planning and Budget (OPB) with the following responsibilities.

"The Director of the Office of Planning and Budget shall develop the necessary rules, regulations, and procedures to govern the advance of State funds to employees prior to travel in the conduct of official State business, and to provide for proper accounting of the State funds advanced to such employees on a timely basis following such employees return from travel status."

Accordingly, regulations have been developed which cover the payment and accounting for travel advances, as well as related matters.

O.C.G.A 50-5-5 authorizes and charges the State Accounting Officer, in cooperation with the Office of Planning & Budgeting, to adopt rules and regulations governing in-state and out-of-state travel and travel reimbursement. Policies and procedures related to reporting travel expenses and reconciling expenses with travel advances are provided for in the *State Accounting Office – Statewide Accounting Policy & Procedure – Statewide Travel Policy*.

Internal Revenue Service Requirements

In order for travel advances and reimbursements of travel expenses to be excluded from a traveler's taxable income, the State's travel policies must meet the Internal Revenue Service (IRS) requirements for an "Accountable Plan". In general, this *OPB Policy Memorandum No. 1 (Revision No. 5)*, and the *State Accounting Office - Statewide Travel Policy* have been developed with the IRS Regulations as their primary payment framework. Accordingly:

- Advances and reimbursements must be reasonable in amount, must be made for travel only, must be in line with actual costs incurred and must be within Policy limitations. Expenses that do not comply with Policy guidelines will be the obligation of the individual that incurred the expense.
- State policy requires that travelers submit expenses, substantiating the amount, date, use and business purpose of expenses, ideally within 10 days, but **no later than 45 calendar days** after completion of the trip or event.

- Expenses submitted in excess of 60 calendar days may not be reimbursed. Expenses submitted more than 60 calendar days after completion of the trip or event, if reimbursed, should be included in the traveler's IRS Form W-2 as taxable income.
- State policy requires that travel expenses associated with advances must be reconciled and substantiated (submitted) as soon as possible, but **no later than 45 calendar days** after completion of the trip or event. Any portion of an advance that was not used must be returned to the State, via check, within this same timeframe.
- Travel expenses, associated with an advance, which are substantiated (submitted) more than 60 days after the conclusion of the travel or event should be included in the traveler's IRS Form W-2 as taxable income.
- Advance amounts in excess of substantiated travel expenses that are not returned to the State within 120 days after the trip should also be included in the traveler's IRS Form W-2 as taxable income.

Travel Advances – Purpose and Intent

The purpose of travel advances is to minimize the financial burden on employees while traveling on behalf of the State. This objective can be accomplished either by the issuance of corporate charge cards or by providing cash advances to traveling employees. State agencies should carefully consider the need to issue cash advances. Travel advances are limited and available only to an employee whose current annual salary is \$50,000.00 or less.

The travel purposes for which funds may be advanced include anticipated subsistence, as well as mileage and other transportation costs which are allowable as reimbursable travel expenses under guidelines issued by Clayton State University, the State Accounting Office and OPB. Travel advances are not required by State law or by these regulations, but are left to the discretion of each agency head.

Travel Advance Request

Users should make requests for travel advances via the PeopleSoft Travel module. For details on how to request and route a travel advance for approval, refer to: <http://www.clayton.edu/accounting-services/expenses/travel/createacashadvance>

Timing and Amount of Cash Advances

Eligible employees may request an advance before an official business trip to cover expenses which will be ultimately reimbursed by the State. A travel advance request should be submitted via the PeopleSoft Expense module **no more than 30 business days and no less than 7 business days prior to travel**. Any request made less than 5 business days prior to travel, may not be approved or processed.

Because the Clayton State University Travel Policy has been developed in accordance with Internal Revenue Service (IRS) requirements for an “Accountable Plan”, per IRS Rule 1.62-2(g)(2), an advance should be provided to the employee no more than 30 days prior to travel.

The requested amount shall be related to the estimated cost of required travel but shall be held to a minimum and allowed only when an advance is warranted in the judgment of the agency head. A travel advance will not be made for less than \$100.

The requested amount shall be related to the estimated cost of required travel but shall be held to a minimum and allowed only when an advance is warranted in the judgment of the agency head.

Accountability and Responsibility for Funds Advanced

An employee who receives payroll via ACH (direct deposit) will also typically receive a travel advance via ACH (direct deposit) in the bank account indicated within the employee’s payroll system. Any employee who receives a travel advance in the form of a *check* shall acknowledge the receipt of the funds in writing, evidenced by signature and date.

All employees are fully responsible for funds advanced to them and shall account for those funds in the manner specified by the *Clayton State University Travel Policy*. The liability of the employee extends to travel advance funds which are lost or stolen. Neither State Law nor these regulations, however, in any way relieve the agency head from the responsibility of accounting for all funds expended for travel purposes.

Travel Advance and Expense Reconciliation

Travel expenses and advances must be reconciled and submitted as soon as possible, but **no later than 45 calendar days** after the completion of the trip or event, “matching” the expenses to the approved advance.

a. When the actual travel expenditures exceed the amount of the cash advance, the employee shall be reimbursed for the amount of the excess.

b. When the actual travel expenditures are less than the amount of the cash advance, the employee shall reimburse the agency for the difference. This reimbursement shall be made at the same time that the travel expenses are substantiated and submitted, by check.

TTE users refer to the State Accounting Office website – Travel tab - *TTE System User Reference Guide*, for details on how to reconcile a travel advance with travel expenses within the TTE system.

- Advances that remain open and unreconciled **more than 120 days** after the date of travel should be included in the employee's IRS Form W-2 as taxable income.
- In cases where a planned trip or event is canceled or indefinitely postponed, any advances must be reconciled and the funds returned, via check, within two business days from such notice of cancellation or postponement. Failure to do so will result in the advance amount being deducted from the employee's next available paycheck. In addition, the employee may be subject to disciplinary action.
- Employees who require payroll earnings adjustments for un-reconciled Travel Advances to collect amounts due the University are not eligible for advances in the future.
- In general, a traveler should have only one travel advance outstanding at a time. However, in certain business cases (such as having multiple advances issued for the same trip, or for accommodating continuous business travel), it may be necessary to have more than one outstanding advance.

Upon termination of employment, all employees must promptly account for and return any outstanding advances; otherwise, open advances will be deducted from the employee's final paycheck or annual leave payout. Human Resources shall take steps to provide for a checkout procedure to ensure that terminating employees do not have outstanding cash advances and/or outstanding travel expenses. In any event, travel expenses submitted more than 45 days after the last day of employment will not be reimbursed.

15.3.3 Travel Expense Report

The on-line expense report is to be completed by the individual traveler. (See the introduction page in this section for information about training to use the Employee Self Service module.) Reimbursement to an individual may cover only those expenses pertaining to that individual; it may not include expenses pertaining to other individuals regardless of who paid the expense. Each individual must request his or her reimbursement. In cases where the prior approval denotes a pre-authorized amount, reimbursement will not exceed this authorization unless specifically approved by the department budget manager. On-line expense reports cannot be resubmitted at year-end for any additional reimbursement.

The expense report should be submitted online (using the PeopleSoft Employee Self Service module) within two weeks of completion of the trip. Submit original receipts and cost comparisons to the Accounting Services Department, and keep copies for departmental files. Note that IRS regulations require the expense report be completed within 60 days of trip completion. Due to year-end closeout procedures, a specific processing deadline date will be established during the last quarter of the fiscal year. Expense reports received after the deadline date will not be subject to reimbursement in

the current fiscal year. Expense reports received after the deadline date will not be charged to the subsequent fiscal year.

All receipts and paid bills must be original. The employee's electronic signature on the on-line expense report attests that the information presented on the report is accurate. Employees who provide false information are subject to criminal penalty of a felony for false statements, which is subject to punishment by fine of not more than \$1,000 or by imprisonment for not less than one nor more than five years.

The on-line report will be automatically routed to the department budget manager. The department budget manager should review the expense report for accuracy and compliance with travel regulations. If the report is in order, the form should be approved and routed to the Accounting Services Department. By approving the form and allowing its routing to the Accounting Services Department, the approver is performing several functions. These functions are discussed in detail immediately below.

By approving travel expenses, the approver is attesting that he/she has thoroughly reviewed each transaction and the supporting documentation, and has verified that all transactions are allowable expenses. The approver is the "check" in the expense reporting process to identify potential or actual errors in expense reporting and is equally accountable for all expenditures. The approver role should be assigned to an individual who can judge the business appropriateness of each expenditure. It is recommended, but not required, that approvers have the responsibility of approving expenses for no more than 25 expense submitters.

Each transaction must be consistent with departmental budgetary and project/grant guidelines. The approver must be sure the correct funding sources are charged, in keeping with proper fiscal stewardship. Under no circumstances should an individual approve his/her own expense submission. Should expenses not meet approval guidelines, the expense approver may deny the expense. Denied expenses will be considered a personal expense to the employee and will be processed in accordance with the policies herein as either a reduction in the traveler's reimbursement due, an amount due the agency, or a payroll deduction (future) accordingly.

Upon granting approval of expense submissions, approvers are certifying:

- Appropriateness of the expenditure and reasonableness of the amount.
- Availability of funds.
- Compliance with funding agency regulations and State reimbursement policies.
- Completeness of documentation and accuracy.

After the approver has verified the report is in order, the form should be approved and routed to the Accounting Services Department for processing.

15.4 Registration Fees and Associated Membership Fees

There are instances where membership fees may be considered as part of registration fees. These may be allowed if the savings on the cost of registration is more than the cost of membership. For example, membership fees are \$100. The cost of a workshop to members is \$150 and to nonmembers it is \$300. The registration fee and membership combined (\$250) is less than the nonmember registration. By joining, there is a cost savings to CSU.

In this example, the combined registration fee and membership fee may be submitted as registration fees. A detailed explanation of the cost savings afforded by paying the membership fee should be included with the **Prepaid Registration** Form or the on-line expense report.

15.4.1 Registration Fees Prepaid by the University

Registration fees required for attendance at meetings, conferences, seminars, and workshops may be paid in advance by the university. The preferred method for payment of registration fees is the P-Card (see section 14.3) *In* order to request advance payment of registration fees via check, the following items must be submitted to the Accounting Services Department:

1. A completed and approved **Check Request** form, including the Federal Identification Number of the vendor to be paid. The **Check Request** form is available on the Accounting Services web site at: <http://www.clayton.edu/accounting-services/Accounts-Payable/Forms>
2. Documented evidence of an approved **Travel Authorization** for the trip.
3. Original and one additional copy of the completed registration form.

All checks for the payment of registration fees will be routinely mailed to the payee unless noted otherwise on the **Check Request** Form. An employee planning to prepay a registration should allow adequate time for processing.

15.4.2 Registration Fees Paid by the Employee

Registration fees may be paid by the employee in advance using a personal check or a personal credit card. Employees may also pay for registration fees at the meeting or workshop. Under these circumstances, reimbursement will be processed after the trip via the on-line expense statement. Receipts are required.

15.4.3 Registration Fees Paid Using the Departmental Purchase Card

Registration fees may be paid in advance utilizing the Departmental CSU Purchase Card for the employee's home department. Reporting of the registration fee will be in accordance with the Purchasing Card processing outlined in Chapter 14 (Procurement of Goods and Services) and the p-card documentation should include the prior approval for travel.

15.5 Travel Procedures for Non-CSU Employees, Students, & Team/Group Travel

Non-Employee's or Students may be reimbursed for travel expenditures for the following circumstances:

- A student at Clayton State University may be reimbursed when the student has incurred travel expenses associated with team travel or group travel.
- A student employee at Clayton State University may be reimbursed when the student has incurred travel expenses associated with travel required in the performance of job duties.
- A student participating in a program administered by the Department of Recreation & Wellness Club Sports has incurred travel expenses associated with program travel.
- An interview candidate traveling to and from Clayton State University may be reimbursed for travel expenses in certain circumstances.

15.5.1 Student Team and/or Group Travel

Students must be enrolled at Clayton State University and the travel must be associated with an approved athletic team event or an official event sponsored by Student Activities or Academic Instruction.

Travel approvals and reimbursement procedures are consistent with the Clayton State University Travel Regulations. The on-line **Student Request for Travel Form** (from Student Activities Funds) should be completed by the Group or Team Leader, including the information about the club, organization, or program, and the listing containing the names and Laker ID#'s of the Team or Group. After obtaining approvals from the organization's head, the organization's advisor, and the Assistant Vice President/Student Affairs, the completed form should be sent to the Accounting Services Department

All Student Team and/or Group Travel that is funded from Student Activities funds must also comply with all of the terms and forms found in the **Student Travel Request Checklist** form that may be found at [http://www.clayton.edu/Portals/535/docs/SFAB/Student Travel Checklist.pdf](http://www.clayton.edu/Portals/535/docs/SFAB/Student_Travel_Checklist.pdf). As indicated within the checklist, each student listed as a traveler on the Student Request to Travel Form must fill out and sign a **Student Travel Agreement** form, a **Personal Health History** form, and an **Emergency Contact, & Insurance Information** Form. All of these forms may be found at: <http://www.clayton.edu/recwell/clubsports/forms>.

For Team or Group Travel approved by a supervisor, an advance check payable to the Team or Group leader may be issued for the estimated cost of the travel if the payment cannot be paid directly to a vendor. If the Group or Team Leader is a CSU employee, the advance may be initiated using the Cash Advance option in PeopleSoft. If the Group or Team Leader is not a CSU employee, the **Check Request** form should be used to request the advance. Upon completion of travel, the Team or Group leader should deposit all unused funds with the Bursar's Office, followed by documenting the trip expenses on the on-line Expense Report. If funds were provided to individual team or group members, a properly completed roster of names and amounts should be submitted to the Accounting Services Department. If travel expenses exceed the travel advance, the remaining reimbursement, if approved, will be disbursed to the Team or Group leader.

If the Team or Group leader is a CSU employee, then the employee's individual expenses should be submitted via the on-line expense report for employees.

15.5.2 Student Employee Travel

Occasionally, a student employee at Clayton State University may be required to travel in the performance of job duties. These travel expenses may be reimbursed to the student employee upon proper completion and approval of required forms. Authorization for travel should be obtained using the **Travel Authorization** form found on the Accounting Services web site at <http://www.clayton.edu/accounting-services/expenses/travel/forms>. The request for reimbursement for travel expenses should be made using the **Non-Employee Travel** form found on the Accounting Services website at <http://www.clayton.edu/accounting-services/accountspayable/forms>. All regulations and policies pertaining to regular employees also apply to student employee travel.

15.5.3 Interview Candidate Travel and Expenses

Candidate Travel for Faculty Positions

The Office of Academic Affairs may pay a candidate to interview for a faculty position when a presentation is given by the interviewee. A copy of the presentation must be included with the payment request along with a list of attendees (if not a public forum). If no presentation is given, no reimbursement will be allowed.

Candidate expenses are to be projected in advance and submitted for approval to the Office of Academic Affairs before arrangements are made. Reimbursement must follow the guidelines presented below:

- Expenses should be prudent and reasonable. If costs are questioned, final determination will be made by the Vice President for Business & Operations.
- The Division in which the position is located is responsible for funding reimbursements for candidate travel or requesting funding through the university's Strategic Budgeting Process.
- A **W-9-CSU** form, a **CSU Contracted (Consultant) Services Agreement** form, and a completed **Purchasing Requisition** form must be completed and approved. Once these forms are completed and approved, they should be forwarded to the Procurement Office to have a purchase order issued. Once the purchase order is issued and passes budget checking, the department can contract for the candidate.
 - The W-9-CSU form may be found at: <http://www.clayton.edu/accounting-services/accounts payable/forms>
 - The CSU Contracted (Consultant) Services Agreement form may be found at: <http://www.clayton.edu/Portals/38/docs/Independent-Contractor-Agreement.pdf>
 - The Purchasing Requisition form may be found at: <http://www.clayton.edu/procurement/procurementforms>.
- Candidates must pay for their own lodging, meals, travel, and incidental expenses which are covered by the amount to be paid on the Consultant Agreement. The requesting Division may use the regulations and policies pertaining to regular employees as a guide to determine the amount to be paid. Account 752100 – Reimbursable Expense is to be used to record these costs.
- Currently employed faculty and administrators shall not be reimbursed for meals associated with candidate visits.

Candidate Travel for Non-Faculty Positions

Other departments may reimburse expenses associated with candidate interviews. These positions include those reporting to the President's Cabinet as well as Deans and Academic or Administrative Department Heads. Other positions may also be approved if authorized by the Divisional Vice President in consultation with Human Resources. Candidates are required to give a presentation. A copy of the presentation must be included with the reimbursement request along with a list of attendees (if not a public forum). If no

presentation is given, no reimbursement will be allowed. Reimbursement must follow the guidelines presented below:

- The Division in which the position is located is responsible for funding reimbursements for candidate travel or requesting funding through the university's Strategic Budgeting Process.
- Expenses should be prudent and reasonable. If costs are questioned, final determination will be made by the Vice President for Business & Operations.
- A **W-9-CSU** form, a **CSU Contracted (Consultant) Services Agreement** form, and a completed **Purchasing Requisition** form must be completed and approved. Once these forms are completed and approved, they should be forwarded to the Procurement Office to have a purchase order issued. Once the purchase order is issued and passes budget checking, the department can contract for the candidate.
 - The W-9-CSU form may be found at: <http://www.clayton.edu/accounting-services/accounts payable/forms>
 - The CSU Contracted (Consultant) Services Agreement form may be found at: <http://www.clayton.edu/Portals/38/docs/Independent-Contractor-Agreement.pdf>
 - The Purchasing Requisition form may be found at: <http://www.clayton.edu/procurement/procurementforms>
- Candidates must pay for their own lodging, meals, travel, and incidental expenses which are covered by the amount to be paid on the Consultant Agreement. The requesting Division may use the regulations and policies pertaining to regular employees as a guide to determine the amount to be paid. Account 752100 – Reimbursable Expense is to be used to record these costs.
- Currently employed faculty and administrators shall not be reimbursed for meals associated with candidate visits.

15.5.4 Travel of Personal Service Contractors

Requirements of this Policy must govern any travel reimbursement to personal service contractors. If a department chooses to reimburse travel expenses as part of the compensation to a personal service contractor, there must be a provision in the personal service contract establishing rates for travel reimbursement, provided the authorized travel occurs. Any reimbursement paid directly to the personal service contractor must be done through the Accounts Payable Department.

15.6 Relocation Expenses

Policy and procedures for employee relocation expenses can be found in the Human Resources Section of the Manual.

16.0 Public/Private Ventures Reserved

17.0 Identity Theft

Introduction: In response to the growing threat of identity theft, the United States Congress passed the Fair and Accurate Credit Transaction Act of 2003 (FACTA) identified as Public Law 108-159. This amendment to the Fair Credit Reporting Act charged the Federal Trade Commission with promulgating rules regarding identity theft. The final rules, known as “Red Flag” rules, which had an effective date of November 1, 2008 and are identified as 16 CFR 681. These rules, implementing sections 114 and 315 of FACTA, required certain institutions or creditors to enact certain policies and procedures.

Topics in this section include:

- ❑ Background
- ❑ Purpose
- ❑ Definitions
- ❑ General Policies

17.1 Background

The risk to Clayton State University (herein referred to as University), its employees and customers from data loss and identity theft is of significant concern to the University and can be reduced only through the combined efforts of every employee and contractor.

17.2 Purpose

The University adopts this sensitive information policy to help protect employees, students, customers, its contractors and the University from damages related to the loss or misuse of sensitive information.

This policy will:

1. Define sensitive information;
2. Describe the physical security of data when it is printed on paper;
3. Describe the electronic security of data when stored and distributed; and
4. Place the University in compliance within the state and federal law regarding identity theft protection.

This policy enables the University to protect existing students and/or customers, reducing risk from identity fraud, and minimize potential damage to the University from fraudulent new accounts. The program will help the University:

1. Identify risks that signify potentially fraudulent activity within a new or existing covered account;
2. Detect risks when they occur in covered accounts;
3. Respond to risks to determine if fraudulent activity has occurred and act if fraud has been attempted or committed; and
4. Update the program periodically, including reviewing the accounts that are covered and the identified risks that are part of the program.

17.2.1 Scope

This policy and protection program applies to employees, contractors, consultants, temporary workers, and other workers of the University.

17.3 Definitions

17.3.1 Sensitive Information

Sensitive information includes the following items whether stored in electronic or paper format:

1. Credit Card information including:
 - a. Credit card number (in part or whole),
 - b. Credit card expiration date,
 - c. Cardholder name, and
 - d. Cardholder address
2. Tax identification numbers including:
 - a. Social Security number
 - b. Business identification number
 - c. Employer identification numbers
3. Payroll information including but not limited to:
 - a. Paychecks
 - b. Paystubs
4. Medical Information for any employee, temporary worker, student, customer including but not limited to:
 - a. Doctor names and claims
 - b. Insurance claims
 - c. Prescriptions
 - d. Any related personal medical information
5. Other personal information belonging to any employee, temporary worker, student and customer, examples of which include:
 - a. Date of birth
 - b. Address
 - c. Phone numbers
 - d. Maiden or birth name(s)
 - e. Student or Customer number
6. University personnel are encouraged to use common sense judgment in securing confidential information to the proper extent. If an employee is uncertain of the sensitivity of a particular piece of information, s/he should contact their supervisor.

17.3.2 Hard Copy Distribution

Each employee and contractor performing work for the University will comply with the following policies:

1. File cabinets, desk drawers, overhead cabinets and any other storage space containing documents with sensitive information will be locked when not in use.

2. Storage rooms containing documents with sensitive information and record retention areas will be locked at the end of each work day or when unsupervised.
3. Desks, workstations, work areas, printers and fax machines, and common shared work areas will be cleared of all documents containing sensitive information when not in use.
4. Whiteboards, dry-erase boards, writing tablets, etc. in common shared areas will be erased, removed, or paper shredded when not in use.
5. When documents containing sensitive information are discarded, they will be placed inside a locked shred bin or immediately shredded using a mechanical shredding device. Locked shred bins are labeled “*Security Container.*” University records, however, may only be destroyed in accordance with the Board of Regents and the University’s records retention policies.

17.3.3 Electronic Distribution

Each employee and contractor performing work for the University will comply with the following policies:

1. Internally, sensitive information may be transmitted using approved University e-mail. When feasible, all sensitive information must be encrypted when stored in an electronic format.
2. Any sensitive information sent both internally and externally must be encrypted and password protected and sent only to approved recipients. Additionally, a statement such as this should be included in the e-mail:

“This message may contain confidential and/or proprietary information and is intended for the person/entity to which it was originally addressed. Any use by others is strictly prohibited.”

17.4 Red Flags

17.4.1 Red Flags Rule Definitions

“Identity Theft” is a “fraud committed or attempted using the identifying information of another person without authority.”

A “Red Flag” is a “pattern, practice, or specific activity that indicates the possible existence of Identity Theft.”

A “Covered Account” includes all student accounts or loans that are administered by the University.

“Program Administrator” is the individual designated with primary responsibility for oversight of the program.

“Identifying information” is “any name or number that may be used, alone or in conjunction with any other information, to identify a specific person,” including: name, address, telephone number, social security number, date of birth, government issued driver’s license or identification number, alien registration number, government passport number, employer or taxpayer identification number, student identification number, computer’s Internet Protocol address, or routing code.

17.4.2 Identification of Red Flags

In order to identify relevant Red Flags, the University considers the types of accounts that it offers and maintains, methods it provides to open its accounts, methods it provides to access its accounts, and its previous experiences with Identity Theft. The University identifies the following Red Flags in each of the listed categories:

A. Notifications and Warnings from Credit Reporting Agencies – Red Flags

1. Report of fraud accompanying a credit report;
2. Notice or report from a credit agency of a credit freeze on an applicant;
3. Notice or report from a credit agency of an active duty alert for an applicant;
4. Receipt of a notice of address discrepancy in response to a credit report request;
and
5. Indication from a credit report of activity that is inconsistent with an applicant’s usual pattern or activity.

B. Suspicious Documents – Red Flags

1. Identification document or card that appears to be forged, altered or inauthentic;
2. Identification document or card on which a person’s photograph or physical description is not consistent with the person presenting the document;

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3. Other document with information that is not consistent with existing student information; and
 4. Application for service that appears to have been altered or forged.

C. Suspicious Personal Identifying Information - Red Flags

1. Identifying information presented that is inconsistent with other information the student provides (example: inconsistent birth dates);
2. Identifying information presented that is inconsistent with other sources of information (for instance, an address not matching an address on a loan application);
3. Identifying information presented that is the same as information shown on other applications that were found to be fraudulent;
4. Identifying information presented that is consistent with fraudulent activity (such as an invalid phone number or fictitious billing address);
5. Social security number presented that is the same as one given by another student;
6. An address or phone number presented that is the same as that of another person;
7. A person fails to provide complete personal identifying information on an application when reminded to do so; and
8. A person's identifying information is not consistent with the information that is on file for the student.

D. Suspicious Covered Account Activity or Unusual Use of Account –Red Flags

1. Change of address for an account followed by a request to change the student's name;
2. Payments stop on an otherwise consistently up-to-date account;
3. Account used in a way that is not consistent with prior use;
4. Mail sent to the student is repeatedly returned as undeliverable;
5. Notice to the University that a student is not receiving mail sent by the University;
6. Notice to the University that an account has unauthorized activity;
7. Breach in the University's computer system security; and
8. Unauthorized access to or use of student account information.

E. Alerts from Others – Red Flags

1. Notice to the University from a student, Identity Theft victim, law enforcement or other person that the University has opened or is maintaining a fraudulent account for a person engaged in Identity Theft.

17.4.3 Detecting Red Flags

A. Student Enrollment

In order to detect any of the Red Flags identified above associated with the enrollment of a student, University personnel will take the following steps to obtain and verify the identity of the person opening the account:

1. Require certain identifying information such as name, date of birth, academic records, home address or other identification; and
2. Verify the student's identity at time of issuance of student identification card (review of driver's license or other government-issued photo identification).

B. Existing Accounts

In order to detect any of the Red Flags identified above for an existing Covered Account, University personnel will take the following steps to monitor transactions on an account:

1. Verify the identification of students if they request information (in person, via telephone, via facsimile, via email);
2. Verify the validity of requests to change billing addresses by mail or email and provide the student a reasonable means of promptly reporting incorrect billing address changes; and
3. Verify changes in banking information given for billing and payment purposes.

C. Consumer ("Credit") Report Requests

In order to detect any of the Red Flags identified above for an employment or volunteer position for which a credit or background report is sought, University personnel will take the following steps to assist in identifying address discrepancies:

1. Require written verification from any applicant that the address provided by the applicant is accurate at the time the request for the credit report is made to the consumer reporting agency; and

2. In the event that notice of an address discrepancy is received, verify that the credit report pertains to the applicant for whom the requested report was made and report to the consumer reporting agency an address for the applicant that the University has reasonably confirmed is accurate.

17.4.4 Preventing and Mitigating Identity Theft

In the event University personnel detect any identified Red Flags, such personnel shall take one or more of the following steps, depending on the degree of risk posed by the Red Flag:

1. Notify your supervisor for determination of the appropriate step(s) to take;
2. Change any passwords or other security devices that permit access to Covered Accounts;
3. Contact the student or applicant (for which a credit report was run);
4. Provide the student with a new student identification number;
5. Continue to monitor a Covered Account for evidence of Identity Theft;
6. Notify law enforcement;
7. Not open a new Covered Account;
8. File or assist in filing a Suspicious Activities Report (“SAR”); or
9. Determine that no response is warranted under the particular circumstances.

17.4.5 Protect Student Identifying Information

In order to further prevent the likelihood of Identity Theft occurring with respect to Covered Accounts, the University will take the following steps with respect to its internal operating procedures to protect student identifying information:

1. Ensure that its website is secure or provide clear notice that the website is not secure;
2. Ensure complete and secure destruction of paper documents and computer files containing student account information when a decision has been made to no longer maintain such information;
3. Ensure that office computers with access to Covered Account information are password protected;

4. Avoid use of social security numbers;
5. Ensure computer virus protection is up to date; and
6. Require and keep only the kinds of student information that are necessary for University purposes.

17.5 Program Administration

17.5.1 Oversight

Responsibility for developing, implementing and updating this Program lies with Business and Operations for the University. The Program Administrator may be the Vice President of Business and Operations or his or her appointee. The Program Administrator will be responsible for ensuring appropriate training of University staff on the Program, for reviewing any staff reports regarding the detection of Red Flags and the steps for preventing and mitigating Identity Theft, determining which steps of prevention and mitigation should be taken in particular circumstances and considering periodic changes to the Program.

17.5.2 Staff Training and Reports

University staff shall be trained, as necessary, to effectively implement the Program. University employees are expected to notify their supervisor who in turn will notify the Program Administrator once they become aware of an incident of Identity Theft or of the University's failure to comply with this Program.

17.5.3 Service Provider Arrangements

In the event the University engages a service provider to perform an activity in connection with one or more Covered Accounts, the University will take the following steps to ensure the service provider performs its activity in accordance with reasonable policies and procedures designed to detect, prevent and mitigate the risk of Identity Theft.

1. Require by contract, that service providers have such policies and procedures in place; and
2. Require by contract, that service providers review the University's Program and report any Red Flags to the Program Administrator or the University employee with primary oversight of the service provider relationship.

18.0 Human Resources

These University policies are subject to Georgia Board of Regents' Human Resources policies (available at [www.usg.edu/policymanual/section 8](http://www.usg.edu/policymanual/section_8)) and the Human Resources Administrative Practice Manual (available at www.usg.edu/hr/manual). They are designed to serve as guidelines of conduct for Clayton State University employees and are subject to change. The University's Employee Handbook supplements these policies. Updates, changes and/or revisions to the Employee Handbook are noted in the online version at <http://www.clayton.edu/human-resources/employeehandbook>. All references noted within should be reviewed against the most up-to-date version which will be located on the Department of Human Resources' or the Board of Regents' website. In case of any divergence in these policies or the Employee Handbook from, or conflict with, the Bylaws or Policies of the Board of Regents, the official Bylaws and Policies of the Board of Regents shall prevail.

The following defined terms are used within certain of the Human Resources policies:

Professional and Administrative Employees: Employees who are exempt from the federal Wage-Hour provisions of the Fair Labor Standards Act because of their professional and administrative responsibilities. These are generally salaried positions and are not eligible for overtime pay.

Staff Employees: Employees who are not exempt from the federal Wage-Hour provisions of the Fair Labor Standards Act. Staff employees are eligible for additional compensation for time worked over 40-hours in a week.

Regular Employment: Regular employees are personnel employed on a continuing basis, including non-contract, fiscal, and academic contract employees. Regular employees must be employed at least one-half time (20-hours per week) for a continuous period of more than 6 calendar months. Regular employees are eligible for employee benefits.

Provisional Employment: All regular classified employees, with the exception of Public Safety officers pending training, are required to serve the first 6 months of employment on a provisional basis. During that time, performance is evaluated for satisfactory progress. If performance is less than satisfactory, employment may be terminated at any point during the provisional period. Probationary employees are ineligible to apply for posted job vacancies at Clayton State University until after the satisfactory completion of the provisional employment period. Temporary employees hired into regular positions are considered new employees and shall serve a 6-month probationary period beginning with the first work day of regular employment.

Public safety employees are subject to the same provisional employment requirement as other classified employees, except that the six (6) month provisional period will not begin until any person employed as a public safety officer has completed his/her mandated training for certification as a police officer. This special provision only applies to those

public safety employees for who specified training is mandated by state law and such training occurs after their employment.

Temporary Employment: Temporary employment is defined as personnel employed for a limited amount of time or for a specific period of time. Temporary employees may be appointed for no more than 6 months at a time. Written approval from the Department of Human Resources is necessary to extend employment beyond the six (6) month period. Temporary employees are not eligible for benefits, holiday pay, or sick and annual leave accruals, but are required to participate in the Georgia Defined Contribution Plan (DEFCON) and the Medicare portion (1.45%) of FICA. At their option, temporary employees may participate in the 403(b) plan.

18.1 Equal Employment Opportunity Policy

18.1.1 Purpose

Clayton State University is an equal employment, equal access, an equal educational opportunity and affirmative action institution.

18.1.2 Scope

This policy applies to all members of the CSU community.

18.1.3 Policy

It is the policy of the University to recruit, hire, train, promote and educate persons without regard to race, color, national or ethnical origin, age, disability, gender, religion, sexual orientation, gender identity or veteran status as required by applicable state and federal laws (including Title VI, Title VII, Title IX, Sections 503, and 504, AREA, ADA, E.O. 11246, and Rev. Proc. 75-50). Clayton State University is an Affirmative Action/Equal Opportunity Institution. For questions or more detailed information regarding this policy please contact the Clayton State University Office of Human Resources at (678) 466-4230. Individuals requiring disability related accommodations for participation in any event or to obtain print materials in an alternative format, please contact the Disability Resource Center at: (678) 466-5445.

18.2 Provisional Employment Policy

18.2.1 Purpose

This policy defines the provisional employment period and affords CSU the opportunity to extend the provisional period should circumstances warrant upon approval of the President or his/her designee. The policy also provides that employees discharged during the provisional period do not have the right to appeal.

18.2.2 Scope

This policy applies to all CSU employees.

18.2.3 Policy

An employee who has been discharged during the provisional period does not have any right to appeal or procedural protections.

When an employee who has not completed his/her first 180 days of employment and that employee has been approved for a period of leave that will extend beyond a thirty (30) day period, the Director of Human Resources in his/her sole discretion may approve an extension of the provisional period for an amount of time that is equivalent to the approved leave only, but not to exceed three (3) months. The employing department shall submit to the Director of Human Resources a written request to extend the provisional period, specifying the reasons that it believes an extension is warranted. An approval to extend the provisional period shall be in writing and filed in the employee's personnel file.

18.3. Health Insurance Portability and Accountability Act (HIPAA) Privacy Policy Notice

18.3.1 Purpose

The mission and scope of operations of the University necessitates that the University collect, maintain, and, where necessary, disseminate health information regarding students, employees, volunteers, and others. For example, the University collects medical information through its medical and dental clinics, through the administration of its medical and life insurance programs, and through environmental health and safety programs. The University protects the confidentiality of individually identifiable health information that is in its possession. Such health information, which is protected from unauthorized disclosure by University policies and by state and federal law, is referred to as "protected health information," or "PHI."

PHI is any individually identifiable health information regarding an employee's, student's,

or patient's medical/dental history; mental or physical condition; or medical treatment. Examples of PHI include patient name, address, telephone and/or fax number, electronic mail address, social security number or other patient identification number, date of birth, date of treatment, medical treatment records, medical enrollment records, or medical claims records.

18.3.2 Scope

The University shall follow the practices that are described in this Notice of Privacy Practices ("Notice"). The University reserves the right to change the terms of this Notice and of its privacy policies, and to make the new terms applicable to all PHI that it maintains. Before the University makes an important change to its privacy policies, it shall promptly revise this Notice and post a new Notice in conspicuous locations.

18.3.3 Policy Regarding Permitted Uses and Disclosures of PHI

The following categories describe the different ways in which the University may use or disclose your PHI. We include some examples that should help you better understand each category.

The University may receive, use, or disclose your PHI to administer your health and dental benefits plan. Please be informed that the University, under certain conditions and circumstances, may use or disclose your PHI *without obtaining your prior written authorization*. An example of this would be when the University is required to do so by law. Other examples are presented below.

For Treatment: The University may use and disclose PHI as it relates to the provision, coordination, or management of medical treatment that you receive. The disclosure of PHI may be shared among the respective healthcare providers who are involved with your treatment and medical care. For example, if your primary care physician needs to use/disclose your PHI to a specialist with whom he/she consults regarding your condition, this would be permitted.

For Payment: The University may use and disclose PHI to bill and collect payment for healthcare services and items that you receive. The University may transmit PHI to verify that you are eligible for healthcare and/or dental benefits. The University may be required to disclose PHI to its business associates, such as its claims processing vendor, to assist in the processing of your health and dental claims. The University may disclose PHI to other healthcare providers and health plans for the payment of services that are rendered to you or to your covered family members by such providers or health plans.

For Healthcare Operations. The University may use and disclose PHI as part of its business operations. As an example, the University may require a healthcare vendor partner (referred to as a “business associate”) to survey and assess constituent satisfaction with healthcare plan design/coverage. Constituent survey results assist the University in evaluating quality of care issues and in identifying areas for needed healthcare plan improvements. Business associates are required to agree to protect the confidentiality of your individually identifiable health information.

The University may disclose PHI to ensure compliance with applicable laws. The University may disclose PHI to healthcare/dental providers and health/dental plans to assist them with their required credentialing and peer review activities. The University may disclose PHI to assist in the detection of healthcare fraud and abuse. Please be reminded that the lists of examples that are provided are not intended to be either exhaustive or exclusive.

As Required by Law and Law Enforcement: The University must disclose PHI when required to do so by applicable law. The University must disclose PHI when ordered to do so in a judicial or administrative proceeding. The University must disclose PHI to assist law enforcement personnel with the identification/location of a suspect, fugitive, material witness, or missing person. The University must disclose PHI to comply with a law enforcement search warrant, a coroner’s request for information during his/her investigation, or for other law enforcement purposes.

For Public Health Activities and Public Health Risks: The University may disclose PHI to government agencies that are responsible for public health activities and to government agencies that are responsible for minimizing exposure to public health risks. The University may disclose PHI to government agencies that maintain vital records, such as births and deaths. Additional examples in which the University may disclose PHI, as it relates to public health activities, include assisting in the prevention and control of disease; reporting incidents of child abuse or neglect; reporting incidents of abuse, neglect, or domestic violence; reporting reactions to medications or product defects; notifying an individual who may have been exposed to a communicable disease; or, notifying an individual who may be at risk of contracting or spreading a disease or condition.

For Health Oversight Activities: The University may disclose PHI to a government agency that is authorized by law to conduct health oversight activities. Examples in which the University may disclose PHI, as it relates to health oversight activities, include assisting with audits, investigations, inspections, licensure or disciplinary actions, and other proceedings, actions or activities that are necessary to monitor healthcare systems, government programs, and compliance with civil rights laws.

Coroners, Medical Examiners, and Funeral Directors: The University may disclose PHI to

coroners, medical examiners, and funeral directors for the purpose of identifying a decedent; for determining a cause of death; or, otherwise as necessary, to enable these parties to carry out their duties consistent with applicable law.

Organ, Eye, and Tissue Donation: The University may release PHI to organ procurement organizations to facilitate organ, eye, and tissue donation and transplantation.

Research: Under certain circumstances, the University may use and disclose PHI for medical research purposes.

To Avoid a Serious Threat to Health or Safety: The University may use and disclose PHI to law enforcement personnel or other appropriate persons. The University may use and disclose PHI to prevent or lessen a serious threat to the health or safety of a person or the public.

Specialized Government Functions: The University may use and disclose PHI for military personnel and veterans, under certain conditions, and if required by the appropriate authorities. The University may use and disclose PHI to authorized federal officials for intelligence, counterintelligence, and other national security activities. The University may use and disclose PHI for the provision of protective services for the President of the United States, other authorized persons, or foreign heads of state, and may use and disclose PHI to conduct special investigations.

Workers' Compensation: The University may disclose PHI for workers' compensation and similar programs. These programs provide benefits for work-related injuries or illnesses.

Appointment Reminders/Health Related Benefits and Services: The University and/or its business associates may use and disclose your PHI to various other business associates that may contact you to remind you of a healthcare or dental appointment. The University may use and disclose your PHI to business associates that will inform you of treatment program options, or, of other health related benefits/services such as disease state management programs.

Disclosures for HIPAA Compliance Investigations: The University must disclose your PHI to the Secretary of the United States Department of Health and Human Services (the "Secretary") when so requested. The Secretary may make such a request of the University to investigate its compliance with privacy regulations of the federal Health Insurance Portability and Accountability Act of 1996 ("HIPAA").

18.3.4 Uses and Disclosures of Your Personal Health Insurance to Which You Have an Opportunity to Object

You have the opportunity to object to certain categories of uses and disclosures of PHI that the University may make:

Disclosures to Individuals Involved in Your Health Care or Payment for Your Health Care:

Unless you object, the University may disclose your PHI to a family member, another relative, a friend, or another person whom you have identified as being involved with your healthcare, or, responsible for the payment of your healthcare. The University may also notify these individuals concerning your location or condition.

If you object to the use of your PHI in the instance identified above, please notify the University Privacy Officer.

18.3.5 Other Uses and Disclosures of Your Personal Health Insurance For Which Authorization is Required

Certain uses and disclosures of your PHI shall be made only with your written authorization. Please be advised that there are some limitations with regard to your right to object to a decision to use or disclose your PHI.

18.3.6 Regulatory Requirements

The University is required, by law to maintain the privacy of your PHI, to provide individuals with notice of the University's legal duties and PHI privacy practices, and to abide by the terms described in this Notice. The University reserves the right to change the terms of this Notice and of its privacy policies, and to make the new terms applicable to all PHI that it maintains. Before the University makes an important change to its privacy policies, it will revise this Notice and post a new Notice in conspicuous locations. You have the following rights regarding your PHI:

You may request that the University restrict the use and disclosure of your PHI. The University is not required to agree to any restrictions that you request, but if the University does so, it shall be bound by the restrictions to which it agrees, except in emergency situations.

You have the right to request that communications of PHI to you from the University be made by a particular means or at particular locations. For instance, you might request that communications be made at your work address, or by electronic mail, rather than by regular mail. Your request must be made in writing, sent to the University Privacy Officer. The University shall accommodate your reasonable requests without requiring you to provide a

reason.

Generally, you have the right to inspect and copy your PHI that the University maintains, provided that you make your request in writing to the University Privacy Officer. Within thirty (30) days of receiving your request (unless extended by an additional thirty (30) days), the University shall inform you of the extent to which your request has or has not been granted. In some cases, the University may provide you with a summary of the PHI that you request, if you agree in advance to a summary of such information and to any associated fees. If you request copies of your PHI, or agree to a summary of your PHI, the University may impose a reasonable fee to cover copying, postage, and related costs.

If the University denies access to your PHI, it shall explain the basis for the denial. The University shall explain your opportunity to have your request and the denial reviewed by a licensed healthcare professional not involved in the initial denial. If the University does not maintain the PHI that you request but knows where your requested PHI is located, it shall advise you how to redirect your request.

If you believe that your PHI maintained by the University contains an error or needs to be updated, you have the right to request that the University correct or supplement your PHI. Your request must be made in writing to the University Privacy Officer. Your written request must explain why you desire an amendment to your PHI.

Within sixty (60) days of receiving your request (unless extended by an additional thirty (30) days), the University shall inform you of the extent to which your request has, or, has not been granted. The University generally can deny your request, if your request for PHI: (i) is not created by the University, (ii) is not part of the records the University maintains, (iii) is not subject to being inspected by you, or (iv) is accurate and complete.

If your request is denied, the University shall provide you a written denial that explains the reason for the denial and your rights to: (i) file a statement disagreeing with the denial, (ii) if you do not file a statement of disagreement, to submit a request that any future disclosures of the relevant PHI be made with a copy of your request and the University's denial attached, and (iii) complain about the denial.

You generally have the right to request and receive a list of the disclosures of your PHI that the University has made at any time during the six (6) years prior to the date of your request (provided that such a list would not include disclosures made prior to April 14, 2003).

The list will not include disclosure for which you have provided a written authorization, and will not include certain uses and disclosures to which this Notice already applies, such as those: (i) for treatment, payment, and health care operations, (ii) made to you, (iii) for the University's patient directory or to persons involved in your healthcare, (iv) for national

security or intelligence purposes, or (v) to correctional institutions or law enforcement officials.

You should submit any such request to the privacy officer on your campus or in your facility. Within sixty (60) days of receiving your request (unless extended by an additional thirty (30) days), the University shall respond to you regarding the status of your request. The University shall provide the list to you at no charge. If you, however, make more than one request in a year, you shall be charged a fee for each additional request. You have the right to receive a paper copy of this notice upon request, even if you have agreed to receive this notice electronically. This notice may be found at the University website address. To obtain a paper copy of this notice, please contact the Privacy Officer.

You may complain to the University if you believe your privacy rights with respect to your PHI have been violated, by contacting the University Privacy Officer. The complaint must be in writing. The University shall in no manner penalize you or retaliate against you for filing a complaint regarding the University's privacy practices. You also have the right to file a complaint with the Secretary of the Department of Health and Human Services. You may contact the Secretary by calling 1-866-627-7748 (outside of metropolitan Atlanta) or (404) 562-7886 (in metropolitan Atlanta).

If you have any questions about this notice, please contact the Office of Human Resources and Services. For additional information, please contact the University Privacy Officer.

18.4 Sexual Harassment Policy

18.4.1 Purpose

This purpose of this policy is to affirm and support an environment free of sexual harassment at CSU.

18.4.2 Scope

This policy applies to all CSU employees.

18.4.3 Policy

Clayton State University is committed to a working and learning environment in which all individuals are treated with respect and dignity. No member of this environment, including faculty, staff, and students, should be subjected to sexual harassment. Each person has the right to work in a professional atmosphere that

promotes equal employment opportunities and prohibits discriminatory practices, including sexual harassment. Clayton State University shall not condone the sexual exploitation of individuals in connection with any work, academic, extracurricular, or athletic programs whether these programs take place in university facilities (including off-campus sites), at a class or training program sponsored by the university at another location, or elsewhere and expects that all relationships within the university community be free of sexual harassment. Sexual harassment is a violation of law, and thus is a basis for disciplinary action up to and including termination of employment, or for students, dismissal. In addition to students, faculty and staff, this policy also applies to all non-employee professionals, consultants, independent contractors and their employees and employees of contract services.

Retaliation against any member of the CSU community who has reported sexual harassment or filed a sexual harassment complaint or has cooperated in the resolution or investigation of a sexual harassment complaint is also prohibited. Any member of the CSU community engaged in retaliatory conduct is subject to disciplinary action, up to and including termination of employment, or for students, dismissal.

18.4.4 Definitions

Definition and Statutory Reference - Harassment on the basis of sex is discrimination in violation of Title VII of the Civil Rights Act of 1964, 42 U.S.C. §2000e, and Title IX of the Educational Amendments of 1972, 20 U.S.C. §1681. Sexual harassment most often exploits a relationship between individuals of unequal power and authority (i.e. between an employee and supervisor or between a student and a faculty member) but may also occur between students or employees of equal rank. Sexual harassment is not limited by gender of either party, or by superior/subordinate relationships. At a university, sexual harassment also constitutes unprofessional conduct which compromises the university's commitment to the pursuit of learning.

Unwelcome sexual advances, requests for sexual favors, verbal and written comments, or physical conduct of a sexual nature may constitute sexual harassment when such conduct occurs in one or more of the following conditions:

- It is made, either explicitly or implicitly, a term or condition of instruction, employment, or participation in a university activity; or
- It is used to be a basis for evaluation in making academic or personnel decisions affecting an individual; or

-
- It creates an intimidating, hostile, or offensive university environment.

In relation to the foregoing statements, sexually harassing behavior may include, but is not limited to, the following:

- Unwelcome sexual flirtations, advances, or propositions; verbal remarks of a sexual nature (whether directed to an individual or a group), including sexually explicit or offensive jokes; graphic or degrading verbal or written comments of a sexual nature about an individual or the individual's appearance; or
- Any suggestive or unwelcome physical contact; conduct of a sexual nature that interferes with a student's academic or extracurricular activities or with an employee's job performance; or
- Sexual assault; or
- It may include a one time or single event if the incident is sufficiently severe.

Third parties may be defined but not limited to the following:

- Contract employees (i.e. consultants)
- Vendors
- Visiting speakers
- Members of a visiting athletic team.

18.4.5 Responsibility

The ultimate responsibility for the effective implementation of this policy is with the President of the University. The Senior Academic Officer, the Director of Human Resources/Title IX Coordinator and the Vice President for Student Affairs (or the persons in equivalent positions) shall see that the Sexual Harassment Policy is communicated on a routine basis through the faculty, staff and student handbooks. Every student, faculty member and staff member is expected to become aware of and support this policy.

Failure of supervisors to respond to allegations or delaying an investigation of sexual harassment in a timely manner is a violation of policy and a violation of the

law. Each dean, director, department/section chair, department manager, or other person with supervisory responsibility is required to report any complaint or allegation of sexual harassment to the appropriate university official.

The University is prepared to take preventive and corrective action in cases of sexual harassment; individuals who engage in such misconduct are subject to appropriate disciplinary action.

18.4.6 Confidentiality

All efforts shall be made to respect the right to confidentiality of all parties involved in a sexual harassment charge. Confidentiality, however, cannot be guaranteed under certain laws.

If a student complainant requests that his or her name or other identifiable information not be revealed, the University shall evaluate that request in the context of its obligation to provide a safe and nondiscriminatory educational environment for all students.

18.4.7 Malicious Allegations/Complaints

Making false or malicious allegations of sexual harassment is prohibited. Persons who make such allegations are subject to sanctions imposed by the University or charges filed. Repeated filing or frivolous allegations or complaints shall be considered a malicious action. Of course, the failure to substantiate a sexual harassment charge does not automatically constitute an instance of malicious allegation.

18.4.8 Bringing a Complaint

Any member of the University community who believes he or she has observed or been the victim of sexual harassment as defined above should promptly report the matter to the Director of Human Resources/Title IX Coordinator for incidents involving faculty and staff and to the Vice President for Student Affairs (678-466-5444) for incidents involving students or student claims.

The initial discussion between someone reporting or alleging sexual harassment and the appropriate University official shall be handled with sensitivity and discretion. The appropriate University official shall inquire into all reports of alleged sexual harassment brought to his or her attention.

During the initial meeting with the appropriate University official, a written summary of the complaint shall be made and should be signed by the person reporting or alleging an incident.

The appropriate University official shall inform the alleged offender of the allegation and shall provide him or her with a written summary of the complaint and shall proceed as set forth in the following section.

If a student complainant requests confidentiality or for the University not to pursue the complaint the University shall take appropriate measures to investigate and respond to the complaint consistent with the student's request.

18.4.9 Resolution of a Complaint

When an allegation is made or a complaint is submitted, the appropriate University official shall discuss the matter with the parties promptly, shall notify the appropriate Dean or Vice President of the charge, and may initiate steps he or she deems appropriate to affect an informal resolution of the complaint acceptable to the parties within 15 calendar days of a report's submission. If an informal resolution is reached, it shall be documented in writing, approved by the Director of Human Resources/Title IX Officer or the Vice President for Student Affairs, as appropriate, and agreed to and signed by the parties.

It is important to note that mediation or other forms of informal resolution shall not be used to resolve sexual assault complaints.

If (i) an informal resolution satisfactory to the parties is not reached within 15 calendar days after an incident is reported or (2) if, in the sole discretion of the appropriate University official, an informal resolution is neither possible nor appropriate the University official shall proceed with a full investigation. A report of the results of the investigation along with a recommendation for resolution of the allegation or complaint and/or disciplinary action shall be made to the appropriate Vice President within 60 days of the date the investigation was initiated. When the investigation is concluded and resolution approved by the appropriate vice president, the Director of Human Resources/Title IX Officer and/or the Vice President for Student Affairs shall notify the parties of the results of the investigation and initiate prompt remedial or corrective action where warranted.

In the event the actions were of such an egregious nature that the individual would constitute a threat to the safety and well-being of members of the CSU campus, immediate action may be taken. The accused individual shall be given written notice of the intention to impose the suspension or removal from campus and shall

be afforded due process. This policy does not preclude anyone from pursuing a complaint, at any stage of the process, with any external agency.

18.4.10 Right to Appeal

Either party shall have the right to appeal the decision to the President or his/her designee. In exercising the right of appeal to the President as provided by this procedure, a written appeal must be made within ten (10) working days after written notification of the decision which is being appealed. The President or his/her designee may receive additional information if he/she believes such information would aid in the decision. A decision shall be made within a reasonable time and the appropriate University official shall notify the parties of the decision. During the time of appeal and review, any disciplinary action recommended as a result of the original complaint may be implemented and enforced.

18.5 Ethics Policy

18.5.1 Purpose

The USG is committed to the highest ethical and professional standards of conduct in pursuit of its mission to create a more educated Georgia. Accomplishing this mission demands integrity, good judgment and dedication to public service from all members of the USG community.

While the USG affirms each person's accountability for individual actions, it also recognizes that the shared mission and the shared enterprise of its institutions require a shared set of core values and ethical conduct to which each member of the USG community must be held accountable. Furthermore, the USG acknowledges that an organizational culture grounded in trust is essential to supporting these core values and ethical conduct.

The following Statement of Core Values and Code of Conduct are intended to build, maintain and protect that trust, recognizing that each member of the USG community is responsible for doing his/her part by upholding the highest standards of competence and character.

18.5.2 Scope

The USG Ethics Policy applies to all members of the USG community. The USG community includes:

1. All members of the Board of Regents;

2. All individuals employed by, or acting on behalf of, the USG or one of the USG institutions including CSU, including volunteers, vendors, and contractors; and,
3. Members of the governing boards and employees of all cooperative organizations affiliated with the USG or one of its institutions.

Members of the Board of Regents and all individuals employed by the USG or one of its institutions in any capacity shall participate in USG Ethics Policy training, and shall certify compliance with the USG Ethics Policy on a periodic basis as provided in the USG Business Procedures Manual. Cooperative organizations, vendors, and contractors shall certify compliance with the USG Ethics Policy by written agreement as provided in the USG Business Procedures Manual.

The USG Ethics Policy governs only official conduct performed by or on behalf of the USG. Violations of the USG Ethics Policy may result in disciplinary action including dismissal or termination.

18.5.3 Policy

Every member of the USG community is required to adhere to the USG Statement of Core Values – Integrity, Excellence, Accountability, and Respect – that form and guide the daily work of the organization.

1. Integrity – We will be honest, fair, impartial and unbiased in our dealings both with and on behalf of the USG.
2. Excellence – We will perform our duties to foster a culture of excellence and high quality in everything we do.
3. Accountability – We firmly believe that education in the form of scholarship, research, teaching, service and developing others is a public trust. We will live up to this trust through safeguarding our resources and being good stewards of the human, intellectual, physical and fiscal resources given to our care.
4. Respect – We recognize the inherent dignity and rights of every person, and we will do our utmost to fulfill our resulting responsibility to treat each person with fairness, compassion and decency.

18.5.3.1 Purpose of the Codes of Conduct

The USG recognizes that each member of the USG community attempts to live by his or her own values, beliefs and ethical decision-making processes. The purpose

of the Code of Conduct is to guide members of the USG community in applying the underlying USG Statement of Core Values to the decisions and choices that are made in the course of everyday endeavors. Each USG institution must ensure that its institutional ethics policies are consistent with this USG Ethics policy.

18.5.3.2 USG Code of Conduct

We will:

- I. Uphold the highest standards of intellectual honesty and integrity in the conduct of teaching, research, service and grants administration.
- II. Act as good stewards of the resources and information entrusted to our care.
- III. Perform assigned duties and professional responsibilities in such a manner so as to further the USG mission.
- IV. Treat fellow employees, students and the public with dignity and respect.
- V. Refrain from discriminating against, harassing or threatening others.
- VI. Comply with all applicable laws, rules, regulations and professional standards.
- VII. Respect the intellectual property rights of others.
- VIII. Avoid improper political activities as defined in law and Board of Regents Policy.
- IX. Protect human health and safety and the environment in all USG operations and activities.
- X. Report wrongdoing to the proper authorities; refrain from retaliating against those who do report violations; and cooperate fully with authorized investigations.
- XI. Disclose and avoid improper conflicts of interest.
- XII. Refrain from accepting any gift or thing of value in those instances prohibited by law or Board of Regents policy.
- XIII. Not use our position or authority improperly to advance the interests of a friend or relative.

18.5.3.3 CSU Code of Conduct

University employees are expected to conduct themselves in an appropriate manner as judged by a reasonable person. Employees have the right to conduct their work without disorderly or undue interference from other employees. CSU prohibits employees from violating this right of their co-workers.

CSU encourages a congenial work environment of respect and professionalism. Therefore, CSU prohibits employees from intentionally harming or threatening to harm other employees, clients, vendors, visitors or property belonging to any of these parties. This prohibition includes but is not limited to intentional acts such as:

- Physically harming others
- Verbally abusing others
- Using intimidation tactics and making threats
- Sabotaging another's work
- Stalking others
- Making false statements about others with malice that cause harm
- Publicly disclosing another's private information

Employees are responsible for maintaining their work area in a neat and professional manner. Employees should report to their supervisor any potential violation of the stated policy.

Employees are responsible for assuring the security of CSU confidential or proprietary material in their possession and similarly maintaining the security of the CSU provided equipment. Employees concerned for the security of their work area or equipment must inform their supervisor of such concerns.

CSU may take disciplinary action against employees whose conduct violates this or other CSU policies and procedures.

18.5.3.4 Interpretation and Sources

The Statement of Core Values and Codes of Conduct do not address every conceivable situation or ethical dilemma that may be faced by members of the USG community. Members of the USG community are expected to exercise good judgment absent specific guidance from this policy or other applicable laws, rules and regulations.

Specific questions pertaining to the Statement of Core Values or Code of Conduct should be directed to a supervisor or other competent authority at the University.

System Office or at the institution's office of Legal Affairs, Internal Audit, Compliance, Human Resources, Academic Affairs, or other appropriate office.

There are also multiple sources of authority that address specific questions or situations. Examples include:

1. Board of Regents Policy Manual
2. Board of Regents Business Procedures Manual
3. Board of Regents Human Resources Administrative Practice Manual
4. Institutional policies, handbooks and procedures
5. State Laws and Regulations
6. Federal Laws and Regulations

Further specific explanatory notes and references may be found on the USG's website at <http://www.usg.edu/audit/compliance/ethics/> or its successor reference, and at CSU's website at www.clayton.edu/ethicsandintegrity. In addition, CSU has established an ethics hotline available for all to use. Information regarding this resource may be found at www.clayton.edu/human-resources/ethicshotline.

18.6 Intellectual Property Policy

18.6.1 Purpose

The purpose of this policy is to establish guidelines for intellectual property created by CSU employees.

18.6.2 Scope

This policy applies to all CSU employees.

18.6.3 Policy

Clayton State University encourages the development and marketing of Intellectual Property by faculty and staff. Intellectual Property shall be deemed to refer to patentable materials, copyrighted materials, trademarks, software, and trade secrets, whether or not formal protection is sought. When the development of these

properties is aided wholly or in part through the use of University facilities and resources, the following procedure shall be followed:

1. The faculty or staff member (or his or her immediate supervisor) should notify the Provost about the development of any Intellectual Property type materials.
2. The Provost shall convene a committee that conforms to the guidelines established in Section 6.3, Intellectual Properties of the Board of Regents Policy Manual. This committee shall be activated to consider the determination of rights and equities in the Intellectual Property on an individual basis, provided, however, that in the absence of such guidelines, CSU shall make such determinations in conformance with the applicable policies and procedures promulgated by the BOR as set forth in 3 below.
3. The Board of Regents (BOR) has detailed policies, procedures, and guidelines for copyright and fair use at: http://www.usg.edu/policymanual/section6/policy/6.3_intellectual_properties/ .

(For information on the creation of copyrightable material, see the Copyright section of the BOR Policy Manual: <http://www.usg.edu/copyright>). CSU follows these policies, procedures and guidelines in its handling of Intellectual Property. See also CSU's Copyright and Trademark policies.

18.7 Access Privileges Policy

18.7.1 Purpose

The purpose of this policy is to define the responsible managers and other Clayton State University officials having authority to (i) grant appropriate access privileges to employees, contractors, and others working under their direction or sponsorship and (ii) modify or revoke those privileges when individuals transfer to another job within CSU, terminates from CSU or otherwise no longer need such privileges.

18.7.2 Scope

For the purpose of this policy, “manager” is defined as the individual to whom an employee, contractor, or consultant directly reports, and “CSU official” is defined as the individual (e.g. vice president, dean, department head, executive director, director, manager) who is sponsoring the work of non-CSU affiliates, such as visiting faculty.

18.7.3 Policy

Set forth below are the procedures managers shall follow with regard to granting, terminating or modifying access privileges for certain personnel classifications.

18.7.3.1 New Employee Hires

When an employee is hired into a department, it is the responsibility of the employee's manager to authorize only appropriate access privileges for the employee. Examples of such privileges are purchasing cards (P-Cards), parking permits, telephone numbers, computer accounts, building keys, room keys, and the LakerCard.

18.7.3.2 Employee Terminations

When an employee terminates service with the University, it is the employee's manager's responsibility to ensure that all access privileges are revoked and all keys, badges, and other physical items (such as notebook computers, cell phones, pagers and parking decals) are collected from the employee in accordance with the relevant policies, in particular CSU's Computer, Network and Information Security Policy (<http://www.csu.edu/oits/securitypolicy#General>) and the BOR's Information Technology Handbook (http://www.usg.edu/information_technology_handbook/).

18.7.3.3 Employee Transfer

When an employee transfers from one job to another, it is the responsibility of both the employee's previous and new managers to modify the employee's access privileges as is deemed appropriate for the employee's new job situation.

18.7.3.4 Contractors and Consultants

It is the responsibility of the manager to whom a hired contractor or consultant reports to authorize only appropriate access privileges for that individual. Further, it is that manager's responsibility to ensure that all access privileges are revoked and all keys, badges, and other physical items such as notebook computers, cell phones, pagers and parking decals are collected from the contractor or consultant when that individual's engagement with the manager ends.

18.7.3.5 Other Non-University Affiliates

Visiting faculty, research collaborators, government officials and other non-CSU affiliates may be granted access privileges to certain CSU resources in accordance with the relevant policies. It is the responsibility of the CSU official who sponsors a non-CSU affiliate to authorize only appropriate access privileges for that individual. Further, it is that official's responsibility to ensure that all access privileges are revoked and all keys, badges, and other physical items such as notebook computers, cell phones, pagers and parking decals are collected from the non-CSU individual when that individual's affiliation with CSU ends.

18.7.3.6 Business Correspondence, E-mails and Other Documents

Persons leaving the employ of the University shall not delete from their University provided telephones, computers, or other electronic devices materials they have received or created in the course of their employ.

18.7.3.7 Timing of Access Change

Access revocations should generally be effective and physical items should be collected on the day these are no longer required by the individual and no later than the day after that individual is no longer assigned to a position requiring the privileges. This also includes situations where the employee is suspended for disciplinary reasons. Managers and other CSU officials, as described in previous sections of this policy, are responsible for notifying privilege-granting departments or external privilege-granting providers of needed changes sufficiently in advance of the effective dates to allow those organizations to process these changes in a timely manner.

18.7.3.8 Common Access Privileges

Common access privileges are listed in the table below, along with specific departments to whom requests for addition, modification, or revocation of access privileges should be made.

18.8 Attendance Policy**18.8.1 Purpose**

Because absenteeism and tardiness place a burden on other employees and on the University, CSU expects that employees will maintain regular attendance sufficient to perform duties and responsibilities productively and efficiently, with minimum disruption to work schedules. This policy outlines the University's expectations of its employees with regard to attendance and punctuality.

18.8.2 Scope

This policy applies to all CSU employees.

18.8.3 Policy

Clayton State University encourages good attendance habits and punctuality on the part of its employees in order to carry out the academic and business support activities of the University. All staff employees are expected to report for work and shall be prepared for duty at the beginning of their assigned work period.

Punctuality and regular attendance are important factors in an employee's consideration for job retention and advancement. An employee's abuse or improper use of leave entitlements, including falsification of reasons for leave requests, shall be grounds for disciplinary action, up to and including dismissal from employment.

A staff employee who must be absent or tardy shall observe University or work group notification standards and complete a leave request form at the earliest possible opportunity. If an employee claims sick leave for a continuous period in excess of five (5) days, a physician's statement shall be required. Supervisors may require a physician's statement for absences of a shorter duration if deemed necessary and approved by the Office of Human Resources & Services.

The University may consider an employee who fails to report to work or fails to follow departmental guidelines for notification of absences for more than three (3) consecutive work days to have abandoned the job. Job abandonment is a form of resignation, and the University may release the employee without application of the policy and procedures on discipline and dismissal.

Personal leave is unexpended vacation and sick leave as well as compensatory time balances that are available to an employee at a given time. All University employees must have personal leave time available to be compensated for any days missed. Employees who do not have personal leave time available shall be considered to be in a "Leave without Pay" (LWOP) status. If the employing department does NOT elect to place the employee on LWOP and he/she is not experiencing a Family Medical Leave Act (FMLA) qualifying event, his/her employment with the University shall be terminated.

18.9 Background Check Policy

18.9.1 Purpose

This policy is to ensure that individuals who join the CSU workforce are well qualified, have a strong potential to be productive and successful, comply with their positions of trust, and have honestly presented their background and qualifications as outlined in the application materials.

18.9.2 Scope

This policy applies to all persons seeking employment at CSU and current CSU employees.

18.9.3 Policy

All finalists (including internal hires) hired for full-time positions at the University for any administrative, service, professional, classified, faculty or academic position must submit to a background investigation. Offers of employment shall be conditional pending the result of the background investigation. The background investigation shall include the following:

- A state and federal criminal history check covering a minimum of seven (7) years;
- A social security number check; and
- For all professional, faculty and academic positions, an academic credentials check.

Nothing in this policy shall prohibit the University or the USG from performing reference checks and/or background investigations on part-time, student or temporary employees.

18.9.4 Duty to Report Changes

Any current employee of the University who is charged with a crime (other than a minor traffic offense) shall report being charged with a crime to his or hersupervisor within 72 hours of the employee becoming aware of such charge. Failure to report being charged with a crime may result in appropriate disciplinaryaction, including termination of employment.

18.10 Drug Screening Policy

18.10.1 Purpose

This policy is designed to provide a supportive process for intervention and rehabilitation while also protecting the working and learning environment. It authorizes pre-placement drug screening of applicants selected to fill positions the University has designated as safety-sensitive, and drug or alcohol testing of

University personnel performing in such positions when there is reason to be concerned for drug or alcohol use.

18.10.2 Scope

This policy applies only to persons currently employed by CSU in, or those seeking employment at CSU for, positions designated as high risk or safety-sensitive positions (“Covered Positions”). The Office of Human Resources & Services in coordination with deans and departmental managers shall administratively review position functions and responsibilities and identify as Covered Positions those involving a substantial risk of injury in the performance of job duties, such as in connection with police and security duties, maintenance of hazardous facilities such as boilers, HVAC, or elevators, and operation of CSU vehicles or equipment that must be used with caution (e.g., lawnmowers, chain saws, welding torches).

Notice to Prospective Applicants

All University job postings and announcements, recruitment or other public or private solicitations for employment into Covered Positions shall reference pre-placement drug screening as a condition of employment. Hiring supervisors, department chairs, deans and other department managers are responsible for providing this notice in coordination with the Office of Human Resources. As provided below, offers of employment to fill Covered Positions are conditional upon review of test results.

Notice to Existing Employees

The Office of Human Resources shall give current employees at least 30 days’ advance written notice of their position being newly classified as a Covered Position, making such employees subject to the "reasonable suspicion" or random drug/alcohol testing authorized by this policy.

18.10.3 Policy

Applicants recommended to be offered University employment in, and existing, recommended employees seeking to transfer into, Covered Positions shall be screened for controlled substances as a condition of employment or transfer. Controlled substances include drugs regulated by the federal Controlled Substances Act (21 USC section 812) or Georgia statute.

18.10.3.1 *Testing Process*

All controlled substance screenings shall be conducted off-campus by third party vendors using trained medical technicians who shall also be available to discuss the nature of the test and the test results with the individual. Testing may be undertaken from a urine sample or breath analysis, unless a blood test or hair analysis is medically recommended. Test results are usually obtained in 24-72 hours absent extenuating circumstances.

The Medical Review Officer (“MRO”) is the person responsible for ensuring the validity of the drug screening process, as well as verifying and reporting results to the current or prospective supervisor/employer, where applicable.

An alcohol concentration of .04% or greater shall constitute a positive test. A confirming retest may be undertaken if recommended by the MRO.

For transfers and new hires, supervisors and hiring managers shall arrange for controlled substance screening through the Office of Human Resources. The cost of the initial testing shall be borne by the affected University department. Any requested confirm by other than the University’s designated laboratory must be conducted by a certified laboratory approved by the MRO and paid for by the employee or applicant requesting it. No contract or right is intended or created with respect to testing procedures, which are subject to change by appropriate administrative authority.

18.10.3.2 *Privacy and Confidentiality*

Personal privacy shall be respected to the extent practicable in the administration of testing without direct observation of an individual providing a urine sample. Test results are maintained in confidential medical information files revealed only to the tested individual and responsible managers with "need to know" or disclosed as may be required by law. University employees, including personnel involved in testing and counseling shall be subject to discipline for any unauthorized disclosure of personally identifiable information.

18.10.3.3 *Conditional Offers of Employment*

An individual selected or recommended to fill Covered Positions may not commence employment in advance of the MRO’s final evaluation of their test results for controlled substances, unless (i) so approved by the appropriate Vice-President (or designee) responsible for position performance, and (ii) the person acknowledges in writing that employment may be immediately terminated if test results positively identify the presence of controlled substances. The individual

shall be provided an opportunity to discuss a positive test with the MRO or supervisor. A confirming retest may be undertaken if recommended by the MRO. A positive test indicating the presence of controlled substances shall result in withdrawal of an offer of employment or termination of employment conditionally authorized by the appropriate Vice-President (or designee) unless the MRO determines, after discussion with the individual, that the positive test is a result of medication prescribed by a licensed health professional. The individual shall be responsible for documenting the prescription authorization which shall be confidentially retained in a medical information file and disclosed on a need-to-know basis to appropriate departmental managers to determine, in consultation with the Office of Human Resources, whether the individual's condition poses a safety threat that cannot be reasonably accommodated. Applicants denied employment shall be disqualified from further consideration for Covered Positions for a twelve-month period.

18.10.4 Reasonable Suspicion Drug/Alcohol Screening

When there is reason to believe that a CSU employee may be impaired by or under the influence of a controlled substance such as drugs or alcohol, the supervisor or appropriate manager should immediately discuss the performance concern with the individual and determine whether the employee should be temporarily relieved of duties. The supervisor or manager is encouraged to consult with the Office of Human Resources regarding disposition. The responsible supervisor or manager shall contact the Office of Human Resources before any suspected employee is directed to testing.

18.10.4.2 Mandatory Testing

Individuals performing in Covered Positions are subject to mandatory testing for controlled substances or alcohol when there are reasonable grounds to suspect that the employee may be impaired by or under the influence of drugs or alcohol. Mandatory testing must be based on the employee's supervisor's or other responsible manager's reasonable belief considering facts and circumstances known at the time, including an employee's explanation and observable behavioral patterns. Reasonable grounds include, but are not limited to, the following employee behaviors, in conjunction with other relevant information including the employee's explanation:

Altered or slurred speech or repeated incoherent statements without reasonable explanation;

Unexplained, abrupt or radical changes in behavior such as violent outbursts without reasonable explanation;

Inability to walk steadily or in a straight line, or perform normal manual functions essential to the position without reasonable explanation;

Smell of alcoholic beverage on the job; or

Accidents or near-accidents on the job that appear related to unexplained sensory or motor skill malfunctions.

Before directing mandatory testing, the supervisor or other responsible manager shall have provided the employee an opportunity to discuss the behavior pattern or other performance concern and, where practicable, have also consulted with the Office of Human Resources personnel skilled in identifying substance abuse. To further ensure reasonable justification for testing, an employee performing in a Covered Position shall not be required to report to testing without approval of the dean, department chair or other manager responsible for the position.

Mandatory testing may be scheduled immediately by arrangement with the Office of Human Resources after normal business hours with the Office of Public Safety. A supervisor shall escort the individual to the scheduled test site or arrange for an escort with the Office of Public Safety. The employee shall be reassigned or relieved of duties with pay pending the MRO's evaluation of the test result.

18.10.4.3 *Failure to Submit to Testing*

Employees who fail or refuse to report to and reasonably cooperate with testing, without good cause, shall be subject to disciplinary action, up to and including termination of employment. An employee's objection to testing, as a matter of principle or privacy when testing is justified by reasonable suspicion, shall not constitute good cause for refusing to cooperate.

18.10.4.4 *Consequences of Employee's Positive Test Results*

The employee's supervisor or manager, in consultation with the Office of Human Resources, shall determine on the basis of test results, observable behaviors and any other relevant information (including the employee's explanation) whether the employee reported to work or performed impaired by or under the influence of a controlled substance, and appropriate disciplinary action. Appropriate discipline may include (without limitation) reassignment, suspension with or without pay pending professional counseling, treatment and evaluation, or discharge. In considering appropriate discipline, any prior incidents and whether the employee is willing to seek appropriate professional help are relevant considerations, as well as the interests of the workplace. Disciplinary action may be deferred or suspended if the employee agrees to and does participate in appropriate professional treatment

and/or counseling. Disciplinary action may be appealed by the employee and further reviewed by the University subject to existing applicable grievance procedures with loss of any pay restored if disciplinary suspension or discharge is found to be arbitrary, that is, lacking in reasonable grounds. If an employee documents to the satisfaction of the MRO that a positive test is a result of medication, management shall assess whether the employee's condition can be reasonably accommodated under the circumstances or if the employee's condition creates a direct threat to the operations of the workplace.

18.10.4.4 *Return to Duty*

Following an employee's suspension from employment for controlled substance impairment or return to duty after completing professional treatment for substance abuse, the supervisor or other responsible manager shall coordinate with the Office of Human Resources to determine conditions of continued employment, such as periodic testing, participation in professional counseling and treatment programs, reassignment of duties for a specified period and/or continued performance of specified functions under more immediate supervision. For a person returning to Covered Positions, it is the employee's responsibility, given the safety-sensitive responsibilities of the position, to comply with reasonable conditions designed to allow the employee to return to duty while also managing possible safety risks. Prior to return to duty, the employee shall reach agreement in writing with the appropriate supervisor stipulating the conditions of continued employment.

An employee who refuses or fails to comply with the agreement, without good cause, shall be subject to discipline in accordance with existing disciplinary policies and procedures. An employee who is identified by a substance abuse professional as needing assistance with controlled substances and/or alcohol and who has returned to a Covered Position may be subject to periodic unannounced follow-up test(s) for up to twelve (12) months following return to duty as recommended by the substance abuse professional. Such tests shall be arranged by the supervisor or other appropriate manager through the Office of Human Resources.

18.11 Flexible Work Schedule

18.11.1 Purpose

The purpose of this policy is to offer University employees optional, creative approaches for completing work while promoting balance between work life and personal life commitments.

18.11.2 Scope

This policy applies to all CSU employees.

18.11.3 Policy

A flexible work schedule offers CSU employees creative approaches for completing work while promoting balance between work life and personal life commitments. The flexible work schedule is an optional work arrangement that the University, in its sole discretion, may discontinue at any time. University and departmental demands shall remain a priority in the establishment of any employee's flexible work arrangement. It is important to note that not every University department will be able to accommodate a flexible work schedule.

Managers shall create the employee's schedule, after consultation with the employee, and the employee shall maintain that schedule. The employee and/or the department may end the flexible work arrangement by providing a minimum of 14 calendar days' advance written notice to the other. Flexible work arrangements shall be reviewed on a quarterly basis.

Flexible work schedules shall not cause a non-exempt employee to work overtime or cause any employee to work on existing holidays or conflict with leave allocation practices. Occasionally, adjustments in schedule may be required on a short term basis.

18.12 Grievance Policy

18.12.1 Purpose

The purpose of this policy is to afford members of the University community an avenue to resolve misunderstandings and differences of opinion that may arise among personnel and which affect working relationships.

18.12.2 Scope

This policy applies to all CSU employees.

18.12.3 Policy

The University encourages its employees to exhibit courtesy, appreciation, understanding, consideration, loyalty and use common sense when interacting with fellow members of the University community and while representing Clayton State University to others.

18.12.3.1 Informal Resolution

Misunderstandings and differences of opinion may arise affecting working relationships. When such matters arise, the situation should be discussed, when possible, with one's supervisor or person up the chain of command. The University has an Office of Conflict Resolution and information on alternative dispute resolutions may be obtained by visiting their office or website <http://www.clayton.edu/conflict-resolution>. Alternatively, a CSU employee may bring to, or discuss problems, questions and grievances with, anyone in a CSU supervisory position for advising and informal resolution. Throughout the advising process, information shall be held in confidence until the initiating individual agrees that a third party or parties may be informed to facilitate a solution.

Anyone who believes him/herself to have been harmed by any action that violates the policies of Clayton State University or the Board of Regents of the University System of Georgia should, either initially or after having unsuccessfully sought an informal resolution, bring a formal complaint by direct report to the Director of Human Resources or by appeal to an administrative officer including any of the University's chief administrative officers (the Vice-President for Academic Affairs, Vice President for Operations, Vice President for Campus Life, Assistant Vice President for Continuing Education, Vice President for the Office of Information Technology and Services, or the Vice President for External Relations).

No person shall be reprimanded or discriminated against in any way for initiating an inquiry or complaint in good faith.

Once an inquiry or complaint is brought forward, every effort shall be made to resolve the problem within a reasonable period of time.

18.12.3.2 Formal Complaint Procedures*GRIEVANCE PROCEDURES FOR FACULTY AND CLASSIFIED EMPLOYEES***I. Name**

The Grievance Committee at Clayton State University shall be known as the Board of Review.

II. Purpose

The Board of Review is established to provide a means to hear the complaints of the University's classified employees who have not received satisfaction in the resolution of a grievance. Prior to filing a complaint with the Board of Review, as provided in Section VI below, an aggrieved employee shall have attempted through normal channels, that is, by appeal to administrative officers through and including minimally one level of authority higher than the grievant's immediate supervisor, to resolve the grievance satisfactorily.

III. Jurisdiction

The Board of Review shall have jurisdiction to consider claims that a person has been harmed by any action that violates the policies of either Clayton State University or the Board of Regents of the University System of Georgia, or for requested disciplinary review. The grievance procedure shall not be available to a person for disputes involving:

- promotion and tenure decisions;
- performance evaluations;
- hiring decisions;
- classification appeals;
- challenges to grades or assessments;
- challenges to salary decisions;
- challenges to transfers or reassignments;
- termination or layoff because of lack of work or elimination of position;
- investigations or decisions reached under the University's Sexual Harassment policy, and;
- normal supervisory counseling.

A Board of Review shall not hear any grievance for which the President has already made a final decision, unless directed to do so by the Board of Regents.

IV. Board of Review

The President shall within ten (10) working days after written request appoint, or have appointed, an impartial Board of Review to hear appeals from employees, excluding those employed in a provisional status, when grievances cannot be resolved through normal administrative channels. This evidentiary hearing shall be informal in nature and shall not be conducted under strict rules of evidence or procedures applicable to proceedings in the

Superior Courts of Georgia. Normally, attorneys are not authorized to participate in the hearing; however, the grievant may select an advisor other than an attorney, to assist and advise the grievant at the hearing. Attorneys may be authorized by the Committee Chairman to participate in the hearing if it appears that the hearing shall in any way involve, or relate to, an indictment of, or the existence of any criminal charge against the grievant.

The recommendation of the Board of Review shall be forwarded to the President for final decision. If the matter is not resolved to the satisfaction of the grievant, he or she may file an application for review, in writing, to the Board of Regents within 20 calendar days following the written decision of the President. This appeal shall state the decision complained of and the redress desired, and shall be filed and processed in accordance with the provisions of Article VII of the Bylaws of the Board of Regents.

The grievant may be represented by an advisor or attorney during the appeal process to the Board of Regents.

V. Notice to Parties and Review Board of Hearing

After the Board of Review has been selected, written notice of the place, time and date set for the hearing shall be given in writing to the parties and to the members of the Board of Review by the Chairman no less than three (3) nor more than ten (10) working days in advance of the date set for the hearing.

The date set shall be reasonable in consideration of the institutional schedule and the needs of all parties and Review Board members. It shall not be more than twenty (20) working days later than the date of the selection of the Board of Review.

VI. Duties of the Chair

The Chair of each Board of Review shall not vote but shall be responsible for the conduct of the hearing and implementation of the grievance procedures. The duties of the Chair include:

1. Assuring that all parties are familiar with the grievance procedures.
2. Receiving the grievance from the President and determining that:
 - a. It is one which is properly heard by a Board of Review, (if not, the grievant shall be so notified in writing).
 - b. The Request for Hearing includes all required information

and has been timely filed as provided in Section VII(A), below (if not, the grievant shall be so notified in writing).

3. Distributing the complaint (grievance) to the members of the Board of Review; setting a date for the hearing after conferring with the Board members.
4. Convening the hearing after written notice (at least three (3) but no more than ten (10) working days in advance of the hearing) to the members of the Board of Review and the parties; conducting and presiding over the hearing; ruling on motions of the parties and assisting the Board of Review during its deliberations.
5. Assuring that a tape recording or transcript of the hearing is made and retained for use in the event an appeal is filed.
6. Forwarding a copy of the written Findings of the Board of Review to the President within ten (10) working days after the hearing; and forwarding a copy of the Board's Confidential Recommendation(s), (if any) to the President as set forth in Section IX, below.

VII. Procedures for Requesting a Hearing

- A. The grievant, within fifteen (15) working days after the occurrence of the alleged act causing the grievance, shall file a written request for a hearing with the Chair of the Board of Review stating the following:
 1. The facts of the complaint, including the date, time and place the act occurred and other pertinent facts, verified (sworn to) by the grievant.
 2. The names of possible witnesses.
 3. A description of the evidence which tends to support the complaint.
- B. The Chair, within eight (8) days from the University's receipt of the Request for Hearing, shall determine whether the grievance is one which is properly heard by a Board of Review. If so, the Chair shall instruct the parties as to the procedures to be followed in conducting the hearing. If not, the Chair shall notify the parties and the President of his determination and give the reason(s). The President may, nevertheless, direct that the grievance be heard by a duly constituted Board of Review. The Chair shall within ten (10) working days following receipt of a Request for Hearing perform the duties outlined in Section VI above.

VIII. Hearing Procedure

- A. The hearing before the Board of Review shall be conducted in private; however, the parties may each select one (1) person to attend as an

observer.

- B. Attorneys are not authorized to participate in grievance hearings; however, the grievant may select an advisor, other than an attorney, to assist them at the hearing.
- C. A tape recording or transcript of the proceedings shall be kept and made available to the parties concerned at reasonable cost.
- D. The parties shall be afforded a reasonable opportunity to obtain and present witnesses and documentary or other evidence except personnel and other confidential records of university employees.
- E. The parties shall have the right to cross-examine witnesses against them. Should a witness be unable to appear because of illness or other cause acceptable to the Chair, the sworn statement (affidavit) of the witness may be introduced into the record.
- F. An oath or affirmation shall be administered to all witnesses by a notary public.
- G. The Board of Review shall not be bound by strict rules of legal evidence.
- H. It may receive any evidence deemed by the Chair to be of probative value in determining the issues involved. Every possible effort shall be made to obtain the most reliable evidence available. All questions as to the admissibility of evidence or other legal matters shall be decided by the Chair.
- I. The Board of Review shall make no decision on the merits but shall state its Findings which shall be based on the evidence introduced at the hearing. The Chair shall report the Findings to the President who shall decide the case in the manner set forth in Section X, below.
- J. Public statements and publicity about the complaint shall be avoided and the confidentiality of the hearing shall be preserved.

IX. Findings and Recommendations by the Board

The Findings of the majority and Confidential Recommendation(s) (if any) to the President from the Board of Review shall be written by a member selected by the Board at the conclusion of the hearing. Findings shall be sent to the President, immediately upon conclusion of the hearing, but not later than ten (10) working days following the hearing, unless a transcript of the hearing is required, in which event Findings shall be sent no later than ten (10) working days following receipt of the transcript. The Board of Review may, in addition to its Findings, make Confidential Recommendation(s) (if any) to the President. Findings and/or Confidential Recommendation(s) (if any) made by the Board of Review to the President shall be advisory only, and shall in no way bind or commit the President to any suggested course of action.

X. Action by the President

In making a decision, the President shall not be bound by the Findings or Confidential Recommendation(s) (if any) of the Board of Review. The President should – within ten (10) working days after receipt of such written notification of the Findings or Confidential Recommendation(s) (if any) of the Board of Review – advise the classified employee, the employee’s direct supervisor, and other parties concerned in writing of the decision, or the President may refer the matter back to the Chair of the Board of Review for further response and recommendation(s) before rendering his/her final decision. An employee should also be advised by the President in writing of their right to apply to the Board of Regents for review of the President’s final decision in accordance with the provisions of Article IX of the Bylaws of the Board of Regents.

XI. Prohibition of Retaliatory Action

A grievant shall not be harassed, intimidated, or otherwise penalized for utilization of the grievance procedures.

18.12.3.3 Appeals to the Board of Regents

Any person in the University System for whom no other appeal is provided in the Bylaws of the Board of Regents, and who is aggrieved by a final decision of the president of the university, may apply to the Board of Regents, without prejudice to his/her position, for a review of the decision. (BOR Policy Manual 201.08)

18.13 Policy pertaining to the Death of a CSU Employee

18.13.1 Purpose

This policy sets forth the protocols to be followed when a CSU employee passes away.

18.13.2 Scope

This policy applies to all CSU employees.

18.13.3 Policy

CSU employees shall follow the steps set forth below in the event of the death of a current CSU employee.

18.13.3.1 Notifications

In the event of the death of a current Clayton State University employee, the following individuals or groups shall be informed immediately in the order listed:

- The Executive Director of Human Resources or designee;
- The employee's immediate supervisor;
- The employee's Division Head, Dean and/or Vice President;
- If the employee is a Faculty member, the Provost;
- The Director of University Relations; and,
- The Director of Public Safety.

The Office of University Relations shall handle all requests from media for information and make the announcement to University faculty and staff when the family has given their approval. The Office of University Relations shall work with the employee's manager to ensure that the employee's department has informed any coworkers of the employee's death before any public announcement is released.

If anyone from Public Safety requests emergency contact or next of kin information, anyone having access to that information shall provide it to the Public Safety Office. The provider shall then contact Human Resources immediately with the fact that emergency contact information was requested, by whom was it requested and the identity of the employee for whom the information was requested.

Human Resources shall:

- Verify that all required groups have been notified;
- Verify the date of death; obtain details from the next of kin and legal representative of the deceased;
- Contact Risk Management if the death of the employee is related to their duties or occurred at work through accident or injury;

- Notify the Laker Angels contacts (if family agrees);
- Notify the Procurement Office on the employee's death;
- Request a copy of the Death Certificate or Death Notice in the newspaper for verification;
- Request a Personnel Action Form from the Department;
- Provide Payroll with employee's current salary, deductions and contact information for all Beneficiaries and/or Estate;
- Ensure that the employee's salary payments are deleted in ADP and terminate all deductions;
- Work with Payroll to comply with all State and Federal laws concerning payments after death;
- Contact Life and Retirement providers; and,
- Request a copy of the deceased employee's will or a copy of the Petition for a Year's Support granted by the appropriate probate court in cases where the deceased has no will and has not designated a beneficiary with Human Resources.

Departmental Responsibilities

The management team of the deceased employee shall ensure that the department (including co-workers of the deceased) is notified prior to public release of the information.

If the deceased is a faculty member, the Dean /Department Head and immediate supervisor should make arrangements for class coverage and notification of the students as to class meetings, assignments, etc.

Time away from work for the purpose of attending memorial services for deceased faculty and staff members shall be granted at the discretion of management, based on operational needs. Use of funeral-leave shall be reserved for immediate family members as defined by Board of Regents and Clayton State University policy.

The deceased employee's supervisor shall prepare a personnel action form and forward to Human Resources.

18.13.3.2 Eligible Benefits

Human Resources shall work with the respective health, dental, retirement and life insurance plans to process claims and work with surviving family members and/or executor to continue coverage, if desired.

Human Resources shall send forms to beneficiaries and shall work with them to finalize these transactions.

18.13.3.2 Final Payment

The deceased employee's department shall provide a completed personnel action form to Human Resources in order for the final payment to be processed.

Human Resources and Payroll shall coordinate the payment of the final paycheck. Human Resources shall notify Payroll via email of the loss of the employee and provide Payroll with the details of the final payment, which shall be made to the deceased employee's estate, designated beneficiary, spouse, or children's guardian based on the employee's will or the applicable probate court's direction. Under Georgia law, a maximum of \$2,500 can be paid to the estate of the employee or legal representative without any documentation. Any amount above that requires proof of beneficiary in compliance with USG policy and applicable laws.

18.13.3.3 Information System Procedures

Upon notification by the employing department, Human Resources shall then enter that information into the HRIS system.

Human Resources shall authorize the HUB to "lock" the employee's account and to update the University directory and address book listings.

Information Technology shall coordinate with the deceased's departmental management to provide the department access to the deceased employee's data and email files.

18.13.3.4 Returning CSU Property

The deceased employee's immediate supervisor shall contact the next of kin after an appropriate interval to obtain all University owned property including but not limited to the following:

- Laker Card-This shall be returned to Human Resources or the department
- Keys-They shall be returned to the department or Human Resources
- P-Card-This shall be returned to the Procurement Office by the employee's supervisor
- Laptop- This shall be returned to the department

18.13.3.4 Claiming Employee Property

The deceased employee's department shall allow the estate or next of kin of the deceased to come on campus and collect the personal property from the University office. Enough time should be given to the next of kin to cope with the loss before they are asked to come and claim the personal property of the deceased.

18.14 Notary Publics**18.14.1 Purpose**

This policy sets forth the parameters on who may utilize the services of a CSU employee who is also a notary public and the charges, if any, for those services.

18.14.2 Scope

All University employees.

18.14.3 Policy

Clayton State University has several employees who are commissioned to serve as Notary Publics. In this capacity, they are authorized in the State of Georgia to perform the following services:

1. Witness or attest signatures or executions of deeds and other written instruments.
2. Witness affidavits upon oaths and affirmations.
3. Certify documents that require notarization.
4. Perform such other acts as Notary Publics are authorized to perform under the laws of the State of Georgia.

Each notarial act must include the stamped seal of the office for the authentication of the act. The seal must contain the name of the Notary Public and the words "Notary Public, Clayton County (or any other county in the State of Georgia), Georgia."

If the service is being requested for University business related purposes, no fee is to be charged. However, if the service is requested for personal reasons (limited to Clayton State University students and employees only), the Notary Public may charge a fee of up to \$2.00 per notarial service, and shall inform the requesting person of the fee prior to providing the service. All fees collected shall be deposited into an identified account for the department where the Notary Public is employed.

18.15 Performance Evaluation Policy

18.15.1 Purpose

This policy sets general guidelines for evaluating the performance of regular CSU professional, administrative, and staff employees.

18.15.2 Scope

This policy applies to all CSU employees and the Department of Human Resources. The Department of Human Resources is responsible for the administration of the University's performance evaluation system and shall communicate to the University community any changes to policy, procedure or forms related to performance evaluation. Human Resources shall conduct supervisory training sessions to University employees regarding this policy and its implementation as necessary.

18.15.3 Policy

18.15.3.1 Definitions

Immediate supervisor: The individual who directly supervises the employee's day-to-day work activities and who is responsible for assigning and evaluating the employee's work.

Performance evaluation: A formal evaluation by the immediate supervisor, using the University's official Staff Performance Evaluation form, of the employee's performance during a period of time.

Performance probation: A probationary period for employees whose performance

evaluations indicate failure to meet expectations.

Probationary employee: A probationary employee is a regular professional, administrative, or staff employee with less than six months of continuous employment or re-employment following a break in service for any reason other than a recall to work after an approved reduction in force.

Regular professional, administrative or staff employee: Benefits-eligible personnel employed for a continuous period that is expected to exceed one academic semester or six calendar months, excluding students employed in positions for which student status is required as a condition of employment and those employees holding teaching and/or research positions classified as faculty.

Reviewing official: The individual responsible for reviewing the validity and integrity of the immediate supervisor's evaluation of the employee's work performance. The reviewing official is usually the next higher level official above the employee's supervisor.

18.15.3.2 Purpose and Objectives of Performance Evaluations

Performance evaluations provide a means of informing employees of the quality of their work and identifying areas of performance that may need improvement. Performance evaluations are to be used as a positive, constructive tool to measure an employee's performance.

Performance evaluations help supervisors make the most effective use of their personnel resources and provide valuable feedback to employees concerning their job performance and the expectations of their supervisors. Additionally, performance evaluations are a valuable management tool to assist in making personnel decisions related to promotions, reclassifications, merit increases, training needs, career development, and so forth.

Merit salary increases shall not be approved unless a current performance evaluation indicating satisfactory or better performance has been conducted and is on file in Human Resources. Supervisors who fail to submit performance evaluations for their subordinates in a timely manner shall not be eligible for a merit salary increase.

18.15.3.3 The Performance Evaluation Process

Following the employee's provisional period of employment at CSU, all classified

employees will be evaluated annually during March of each year. The evaluation process includes:

- Provision of clearly defined performance standards based upon the employee's current job description to ensure that employees know what is expected of them;
- Face-to-face discussions that provide employees feedback about their job performance;
- The opportunity for supervisors to express appreciation to employees for outstanding contributions and performance; conversely, the opportunity to discuss with employees performance areas where improvement is possible or needed and to outline plans for improving performance
- The opportunity for the supervisor and employees to discuss departmental goals, individual goals, and the personal/professional development of the employee.

18.15.3.4 Conducting the Performance Evaluation

College/department administrators are responsible for ensuring that all regular professional, administrative and staff employees in their college or department are evaluated timely and in accordance with this policy. Toward that end, administrators are responsible for distributing all necessary materials and forms to supervisors and for communicating to them the importance of the performance evaluation process. In addition to ensuring that annual performance evaluations are conducted according to the schedule provided by Human Resources, college/department administrators are responsible for ensuring that initial performance evaluations and those others on individualized time schedules are performed according to the time frames required.

College/department administrators are also responsible for forwarding completed performance evaluations to Human Resources.

Human Resources shall monitor the process to ensure that all required evaluations are completed. Human Resources representatives shall contact college/department administrators when it is noted that performance evaluations have not been forwarded for inclusion in the official personnel files. If the completed evaluations are then not provided by an established date, the appropriate Dean or Vice President shall be notified.

The performance evaluation shall be completed for every eligible CSU employee as

described below:

- All performance evaluations for benefits-eligible professional, administrative, or staff employees must be done on an official Staff Performance Evaluation Form or Administrator Performance Evaluation Form unless an alternate form has been reviewed and approved in advance by Human Resources. These forms are available for downloading on the Human Resources web site at <http://adminservices.clayton.edu/ohr/forms.htm>;
 - Each supervisor shall hold a face-to-face meeting with the employee to discuss the performance evaluation;
 - The form shall be processed and distributed as defined in this policy;
- and,
- If the employee disagrees with his/her performance evaluation, the employee shall have the option of filing a written rebuttal within five (5) working days and discussing the evaluation with the reviewing official.

The immediate supervisor shall be responsible for conducting performance evaluations for all immediate subordinates in a timely manner. This responsibility includes not only completing the evaluation form and conducting the actual performance evaluation with the employee, but also ensuring that job descriptions are up-to-date, accurate, and available to the employee. If an employee's job duties and responsibilities change, the department manager shall notify Human Resources so that the job description may be revised. Whenever a job description is revised, a copy shall be given to the employee.

In those cases where the employee has more than one supervisor, the supervisor who reviews most of the employee's work shall complete the evaluation. However, the departmental manager or chair may require separate evaluations from each supervisor or may require that all supervisors provide input to develop a single evaluation. If a single evaluation is conducted, the immediate supervisor shall seek written input from all other supervisors to coordinate a comprehensive review of the employee's work. Human Resources encourages the submission of one performance evaluation per employee.

It is recommended that the immediate supervisor forward the performance evaluation to the reviewing official for his/her review and signature and discuss the evaluation with the reviewing official prior to it being discussed with the employee.

The reviewing official has the discretion as to whether he/she elects to review the performance evaluation before or after it is discussed with the employee. The signature of the reviewing official is required before the performance evaluation is forwarded to Human Resources. The reviewing official may also add written comments to the evaluation form. In the event that the immediate supervisor and the reviewing official do not agree about the content of the evaluation the reviewing official's supervisor may be asked to act as a senior reviewer.

The immediate supervisor shall conduct an interview with the employee to discuss his/her performance evaluation. The evaluation interview shall be scheduled in advance and with only the supervisor and the employee in attendance. After the performance evaluation interview has been conducted, the employee shall sign the evaluation form acknowledging that he or she:

- had the opportunity to comment and discuss the evaluation;
- has the option of filing a written rebuttal to the evaluation within five (5) working days of receiving it; and
- has the opportunity to discuss the evaluation with the reviewing official.

The employee shall be provided a copy of the evaluation. The signature of acknowledgment indicates only that the employee has read the evaluation; it does not necessarily indicate agreement with the evaluation itself. If the employee refuses to sign the evaluation, the supervisor conducting the evaluation shall so indicate by noting, "Employee refused to sign" and by initialing the refusal date.

Completed evaluations shall be forwarded to Human Resources for filing in the employee's official personnel file. The originating supervisor should maintain a copy for his or her records.

18.15.3.4 Schedule for Performance Evaluations

An effective performance evaluation process requires on-going communication between employee and supervisor to ensure that the employee has a clear understanding of the supervisor's expectations and continuous feedback about his or her job performance. There is a need, however, to periodically conduct formal performance evaluations as described below:

- Initial performance evaluation: Regular professional, administrative, and staff employees may receive a performance evaluation one month prior to completion of their probationary period. This evaluation not only will allow the supervisor the opportunity to discuss the employee's performance in the

new job, it will also allow supervisor and subordinate to jointly establish future action plans and discuss employee development.

- Transfer or promotion to new positions: Regular professional, administrative or staff employees who are transferred or promoted to a new position may receive a performance evaluation during the sixth month in the new position. Two-way communication between supervisor and subordinate should take place regarding the employee's new job duties and responsibilities, performance level and future action plans.
- Annual performance evaluations: All regular staff employees shall receive performance evaluations during the second quarter of each calendar year. However, if an employee has received a performance evaluation during the preceding six months, that evaluation may serve as the annual performance evaluation. Thereafter, the employee's evaluation shall occur during the scheduled annual evaluation period.
- Performance probation evaluation: Regular professional, administrative or staff employees who are placed on probation as a result of a low performance evaluation must receive a new performance evaluation at the end of the performance probationary period, as described below in Section 615.3.5.
- Unscheduled performance evaluations: Unscheduled performance evaluations may be conducted at any time, if deemed necessary by college or department management and with prior review of the situation and circumstances by Human Resources.

18.15.3.5 Performance Probation and Improvement Plan

Regular professional, administrative or staff employees who receive an overall rating of “Does Not Meet Expectations” shall be placed on a performance improvement plan for a period of 90 calendar days, with prior review by the Department of Human Resources. With approval from Human Resources, this performance improvement period may be extended for not more than 90 calendar days. This performance improvement period is not a guarantee of continued employment with the University.

Employees placed on a performance improvement plan shall be given written notice of the performance probationary period, citing the specific dates covered, along with a copy of the completed performance evaluation form and a written performance improvement plan. The purpose of a performance improvement plan is to ensure that

the employee is fully aware of performance deficiencies that exist and to provide the employee with reasonable direction with which to improve such deficiencies. The performance improvement plan shall minimally include a detailed listing of performance expectations and a defined time frame in which these improvements shall occur. A copy of the written performance improvement plan documenting the employee's probationary status shall be provided to the Department of Human Resources for inclusion in the employee's official personnel file.

During the performance improvement plan period, the employee's supervisor shall conduct periodic meetings with the employee to review and, if necessary, revise the performance improvement plan. It is recommended that these meetings take place at least once every 30 days. A new performance evaluation form shall be completed by the employee's supervisor at the end of the performance improvement probationary period and discussed with the employee. If the employee's performance has improved to a satisfactory level, the employee shall be notified in writing that the performance improvement probationary period has been successfully completed. The written notice may be made by notation on the performance evaluation that was completed at the end of the probationary period or by separate memorandum.

If the employee's performance continues to be rated as "Does Not Meet Expectations", or if the specific insufficiency that caused the performance improvement plan probation has not improved, the employee may be terminated from the University. Decisions to dismiss an employee shall be reviewed by Human Resources prior to the supervisor taking any action. If an employee is terminated as a result of failure to satisfactorily complete a performance improvement plan probationary period, the employee may appeal the termination in accordance with institutional policy.

18.15.3.6 *Performance Feedback, Reviews and Related Documentation*

Supervisors shall provide feedback to probationary employees or evaluate their performance frequently during the probationary period. An interim Probationary Review Form may be completed at any time during the probationary period to document the employee's progress or to provide feedback to the employee. The supervisor shall mark any forms used for this purpose as interim evaluations.

Documentation of an employee's progress during the probationary period, such as memoranda or interim evaluations, shall be kept in a confidential supervisor's file separate from an employee's official personnel file. Employees shall be provided copies of interim evaluations and shall also be permitted access to any other documentation of their work performance.

The supervisor shall meet with the probationary employee at three (3) months to advise the employee of his or her progress toward meeting established performance plans. The supervisor shall review with the employee:

- The initial performance plan that was established at the beginning of employment (See Performance Planning and Evaluation); and
- A Probationary Progress Review form, which the supervisor has completed based on the employee's performance to date.

Any decline in an employee's job performance or any unsatisfactory performance by an employee following a satisfactory three month performance review may be a basis for CSU to terminate an employee's employment. CSU may terminate a probationary employee for any reason during the probationary period.

The supervisor shall meet with the probationary employee approximately three (3) weeks prior to the completion of his or her probationary period and provide a second progress review. The Probationary Progress Review form is to be used for this formal progress review.

18.16 Provisional Probationary Period

18.16.1 Purpose

The provisional probationary period is an introductory, provisional period of employment that allows the employee and CSU to determine if the employee is suited for the position.

18.16.2 Scope

A person who begins either original employment, or re-employment, in a classified position shall serve a six (6) month probationary period effective from the date of employment. This includes employees who may transfer into the University from other State agencies.

18.16.3 Policy

All classified employees shall serve a six (6)-month provisional probationary period,

which shall be extended when a probationary employee is on any leave with or without pay, including military leave without pay, for more than 14-consecutive calendar days. Extensions include the first 14 days of absence, as well as those days in excess of 14, up to the employee's return to work date. The supervisor shall establish performance expectations for each new employee within the first week of employment.

During this provisional probationary period supervisors shall apply the Standards of Conduct. Provisional probationary employees are expected to maintain the highest standards of conduct and job performance. During the provisional probationary period, employees may be terminated at the pleasure of the appointing authority, without access to the Clayton State University Grievance Procedure or that of the University System of Georgia, or allowed to resign. Employee records related to termination shall reflect "Unsatisfactory performance during the provisional probationary period" or "End of Assignment." The supervisor or Human Resources shall notify the employee of termination in writing.

18.16.4 Records Retention

The Provisional Probationary Progress Review forms completed at three (3) months and at the end of the probationary period shall be kept in the employee's personnel file, located in the Office of Human Resources.

18.16.5 Completion of Probation

The supervisor shall notify the employee in writing when the six-month provisional probationary period has been completed satisfactorily. If a provisional probationary employee works beyond a 6-month period without having been notified of satisfactory completion, the employee shall be regarded as having successfully completed the provisional probationary requirement.

18.16.6 Counseling Guidelines for Provisional Probationary Employees

There may be situations where a supervisor finds a provisional probationary employee's behavior or performance can be improved to a satisfactory level with counseling prior to the end of the provisional probationary period. The following guidelines are suggested for use by a supervisor who chooses to counsel with a provisional probationary employee experiencing either behavioral or performance

problems.

Supervisors shall evaluate provisional probationary employees during the provisional probationary period. Those who do not meet minimum expectations during the provisional probationary period are normally considered for separation from CSU employment. Supervisors, however, are strongly encouraged to address performance difficulties with provisional probationary employees through counseling to let the provisional probationary employee know that there are established performance expectations, what the employee needs to do to achieve them and the consequences if he/she does not. Performance counseling works best and is most effective when it is approached from a positive “rehabilitative” standpoint versus a disciplinary one. It should be conducted at the point where (in the judgment of the supervisor) an observed pattern of substandard performance has occurred and is likely to continue if not addressed. The objective of performance counseling is to redirect the employee’s behavior.

The following list, while not all inclusive, provides some basic suggestions for the supervisor conducting performance counseling:

- The counseling session should be conducted by the individual responsible for evaluating the employee’s performance.
- The employee should be advised of the session in advance. It should take place in a private setting. The employee should be shown documentation of the problem if applicable and given a reasonable opportunity to respond.
- Supervisors should not attempt to make judgment as to why the behavior/performance problems have occurred.
- Supervisors should review job expectations with the employee to ensure they are understood.
- An action plan between supervisor and employee may also be formulated, which plan can be used to address specific weak areas and how the employee can address those weaknesses.
- Finally, a follow-up counseling session to again review the employee’s performance/behavior should be scheduled. There are no standard rules as to when this should occur, but normally two to four weeks after the initial session is sufficient.

Supervisors who have concerns regarding the performance of provisional probationary employees are encouraged to contact the Office of Human Resources.

18.16.7 Performance Increases during the Probationary Period

Salary increases for probationary employees if given, shall be based on their most recent Probationary Progress Review ratings. Increases, if awarded, become effective on October 1st.

18.17 Progressive Discipline Policy

18.17.1 Purpose

A system of progressive discipline may be used for encouraging an employee to correct unacceptable behavior and to adhere to the Standards of Conduct. CSU reserves the right to determine those steps necessary considering all aspects of each individual case.

18.17.2 Scope

This policy is administered by the Office of Human Resources and applies to all CSU employees.

18.17.3 Policy

CSU shall use the following corrective and disciplinary actions as appropriate with its employees:

- Verbal Warning
- Written Warning
- Disciplinary Suspension
- Investigative Suspension
- Termination

Degrees of disciplinary actions may be progressive and shall be used to insure the employee has the opportunity to correct their performance. There is no set standard of how many verbal warnings shall be given to an employee prior to a Written Warning or how many Written Warnings must precede termination. Factors to be considered in each employee situation are:

- The variety and number of problems involved.
- The seriousness of the offense.
- The time interval and employee response to prior disciplinary action(s).
- Previous work history of the employee.

For serious offenses such as (fighting, theft, threats of violence, the sale or possession of drugs or abuse of alcohol on CSU Property, etc.) termination may be the first and only disciplinary step taken. Any step or steps of the disciplinary process may be skipped at the discretion of the Office of Human Resources and Department

Management after investigation and analysis of the total situation, past practice and circumstances.

18.17.4 Definitions

18.17.4.1 Verbal Warning

The Verbal Warning is a conversation between a supervisor and an employee held in private about a disciplinary or performance problem. It is the first step of the progressive discipline process. The purpose of the Verbal Warning is to correct a performance or disciplinary problem by bringing it to the employee's attention in a serious yet friendly manner.

18.17.4.2 Written Warning

The purpose of the Written Warning is to correct a performance problem by discussing it with the employee and providing a written record of that conversation. The Written Warning shall be used only after a Verbal Warning has been given and no change in performance has resulted.

A Written Warning shall document the fact that the employee has been officially advised of the precise nature of his or her misconduct and warned that any future violations shall result in further disciplinary actions, including disciplinary suspension or termination.

18.17.4.3 Disciplinary Suspension

The employee shall be relieved of his or her job assignment because of serious or repeated instances of misconduct and shall forfeit pay as a result of the suspension. Also, these are situations where there is no specific instance of conduct that is so outrageous that justifies termination; but, there is a pattern of conduct where the employee has continually engaged in one minor infraction of the rules after another and has received a documented verbal and/or written warning for rule(s) infraction(s).

A Disciplinary Suspension is normally a period of one (1) to five (5) days. Exempt employees whose performance or conduct merits a suspension shall be suspended for a minimum of 5 days. An employee shall forfeit his or her pay during the Disciplinary Suspension period.

18.17.4.4 Investigative Suspension

CSU shall utilize Investigative Suspension as a disciplinary measure when a supervisor reasonably believes that an employee has performed acts of serious

misconduct including, but not limited to, fighting, insubordination or theft. While CSU conducts an investigation into the allegations of misconduct, the employee shall be relieved of his or her job. Subject to the discretion of the Human Resources Department, the employee may be permitted to take the associated time off as leave with pay.

18.17.4.5 Termination

Georgia is an employment-at-will state. Cause is not necessary to terminate employment. CSU may discharge an employee as a result of a serious offense or as the final step in the accumulation of infractions for which one or more Warning Notices have been issued to the employee.

18.18. Records Management

18.18.1 Purpose

It is the University's objective to maintain complete and accurate records regarding each employee and position, to comply with legal requirements regarding retention and release of personnel records, and to preserve confidentiality of personnel records. Accordingly, this policy sets forth requirements for retention and disposition of personnel records, release of personnel information, and reporting of employee and position changes

18.18.2 Scope

This policy applies to employees of Clayton State University, including all of its schools and divisions. This applies to academic and nonacademic employees, regardless of whether employment is full-time, part-time, temporary, provisional, adjunct, seasonal, or occasional. The policy applies to employees working under the auspices of the University, regardless of physical work location. Employees covered under this include both student and non-student employees, regardless of the source of funding for the position; employment fully or partially funded by external grants, internal funds separate from the regular University budget, community-based or commercially sponsored activities, internships and cooperative employment, federal assistance or other government initiatives, and whether or not the employment generates revenues for the University or any other entities. Furthermore, this policy applies to all employment regardless of any exclusion from other provisions of University administrative or employment policies.

18.18.3 Collection of Information

Only information that is necessary for the effective and efficient operation of the University shall be collected regarding employees.

18.18.3.1 Social Security Numbers

Employees' social security numbers (SSN) shall be collected under the authority of 26 U.S.C., Section 6011, and Treasury regulation Codes, Section 31.6011(b)-2(b). This information shall be used to:

- comply with federal, state, and local reporting requirements;
- administer and evaluate benefits programs;
- effect personnel transactions related to employment status changes;
- comply with the provisions of Georgia Open Records Act and US Freedom of Information Act; and
- establish and maintain the employee records necessary to accomplish University business.

18.18.3.2 Criminal Background and Other Personal History

Under the regulations published by the Board of Regents of the University System of Georgia, all employees shall complete and submit the Security Questionnaire and Loyalty Oath prior to starting work. In accordance with laws and regulations governing employment by the State of Georgia, applicants and employees with convictions involving crimes of moral turpitude, or crimes involving controlled substances, are prohibited from employment with the University. In order to ensure compliance with this requirement, and as part the effort to provide a safe environment for employees and students, the University verifies the accuracy of the information provided by applicants and employees (See *Policies & Procedures on Criminal Investigation and Testing* for more information on background checks).

The information provided on the Security Questionnaire by the applicant, and information gained from a criminal history check, shall be kept confidential by the Office of Human Resources. In the event that a selected applicant is excluded from employment because of information revealed through the criminal background check or through disclosure by the applicant, the Office of Human Resources shall inform the hiring manager of that candidate's ineligibility. An applicant who is denied employment based solely on the results of such a check shall be notified in writing of the source of the information, as required by law. No details concerning the offense shall be released to any person who is not otherwise authorized to have

access to confidential personnel information, and no person outside of the Office of Human Resources is allowed access to the criminal background report.

In some cases, the recruitment and selection process may require additional investigation of an applicant's personal history. Such investigation may include credit check, verification of immigrant status or security clearance, verification of academic credentials and certifications, skills testing, physical examination, or other tools or techniques to verify eligibility and suitability for specific positions. Any such investigation shall be applied with equanimity to all selected candidates and shall bear directly on the qualifications for the position under consideration. No such investigation shall be conducted without prior notice and consent of the applicant, and the results of any such investigation shall be maintained in complete confidence.

18.18.3.3 Changes in Personnel Data

All new information to be recorded concerning employees, and all changes in information or status to be recorded, shall be submitted to the Office of Human Resources by means of the Personnel Action Form (PAF). Information from PAF is entered into the PeopleSoft Human Resources Management System (HRMS). Some such information may be integrated into HRMS through electronic update; in most cases, it is manually entered by employees of the Office of Human Resources.

All information reported on the PAF should be entered prior to the effective date of action if the PAF is submitted on or before the posted deadline, provided that the information submitted is both complete and accurate. Although errors and omissions shall be resolved as quickly as possible, errors or omissions may result in delay of processing until the following payroll cycle. When the PAF is submitted after the deadline, data from the PAF shall be entered during the following payroll cycle.

In the event that final documentation is received after posted deadline for the current payroll cycle, the information will be backdated in HRMS to reflect the effective date. **EXCEPTION:** Information on retirement, separation, leave and/or returns from leave should be entered within one week after the close of the payroll cycle that includes: *a)* the effective date, or *b)* the separated employee's final vacation payout, whichever is later.

Once the information recorded on the PAF has been entered into HRMS, and conveyed to other parties as might be necessary (e.g., notification given to benefits specialist when employees become eligible or ineligible for benefits as the result of a status change), the PAF becomes part of the affected employee's personnel file.

18.18.4 Contents of Records

18.18.4.1 Personnel Files

The Office of Human Resources shall maintain a confidential master personnel file for each full or part-time employee (Master File). This Master File shall contain, at minimum:

- Completed CCSU Application for Employment form(s) with original signature(s). Application for Student Employment or Faculty Application may substitute for this. If more than one type of application is completed, all originals should be retained in the personnel file.
- Originals of the Personnel Action Form (PAF) signed by applicable administrative authorities. Additionally, supporting documentation (memoranda of justification, letters of appointment or resignation, documentation of disciplinary action, or other supporting documents generated or required by administrative officers).
- Copies of state and federal withholding forms.
- Signed and notarized USG Security Questionnaire and Loyalty Oath.
- Position description and performance standards.

Signed and notarized USG security questionnaires and loyalty oaths, position descriptions and performance standards shall not be maintained in the Master Files of employees engaged as Student Assistants or in Work Sturdy assignments.

For all full-time, regular employees who are eligible for benefits, the Master File shall also contain:

- Any letters offering/accepting employment.
- A completed Right to Know (RTK) memorandum
- Acknowledgement of Training, or its precursor, covering discussion of Workers' Compensation, Family Medical Leave Act (FMLA), policies on sexual harassment and equal employment opportunity, Americans with Disabilities Act (ADA), with appropriate signatures.

The following records shall also be included in the Master File whenever such records exist:

- Original Probationary Progress Review forms.
- Original performance evaluation forms.
- Original Progressive Discipline forms, including amendments or comments, following review by the Office of Human Resources, and any amendments or notations made by the Office of Human Resources.
- Authorizations for exceptional salary actions, special compensation for duties filled in extraordinary or acting employment circumstances, or additional pay for services provided outside of regular employment.
- All forms and documents used to initiate actions or changes in personnel or payroll status or data stored in all electronic systems used in the course of human resources and payroll management, except as excluded by Records Maintained Separate from Master File.
- Originals or photocopies of all requests to review contents of the Master File, whether or not such requests were granted, and of all requests from external entities for verification or release of specific information.

Other records may be included in the Master File. Optional records include:

- Copies of training certificates and/or other training or scholastic records including records related to educational assistance.
- Copies of training certificates and/or other training records.
- Exit interviews and Clearance of Campus documentation.
- Separation Notice and record of Unemployment Compensation.
- Documents related to employment and performance, except those listed in Records Maintained Separate from Master File.

18.18.4.2 Supervisors' Files

Supervisors may maintain files on employees, provided that the records procedures are applied with equanimity to all employees under the supervisor's control. This means that no supervisor shall maintain records related to one or more employee(s) unless similar records are maintained for all employees within the unit under the supervisor's authority.

These files shall serve as *working* files, and shall be used to identify training needs and performance issues relevant to an employee's performance. Once the

information is summarized and captured on the performance appraisal and the documents in the working file are no longer needed, it is recommended that these records be destroyed. The manager of each department or office shall be responsible for the content of records held, and shall take great care in assuring the proper maintenance and disposition of such files. No person other than the supervisor maintaining the file, the dean or executive director with authority over the work unit, and the Office of Human Resources shall be allowed access to the information contained in the supervisors' files.

- Only work-related information shall be included in the files. Information that may be maintained includes:
 - Documentation regarding employees' work performance.
 - Documentation of counseling sessions on performance or behavior or department and University policies and procedures.
 - Letters or memoranda from other sources regarding employees' job performance such as letters of commendation or complaint.
 - Attendance records.
 - Copies of position descriptions and performance

18.18.4.3 Records Maintained Separate from Master File

Other records that shall be maintained by the Office of Human Resources, but shall not be included in the employee's Master File, include:

- Original of the Employment Eligibility Verification (I-9) form.
- Information regarding Workers' Compensation claims.
- Grievance records and discrimination complaint case files.
- Records of arrests, convictions, investigations, or security clearance information, with the exception of the Security Questionnaire and Loyalty Oath form and/or Application for Employment stored in the Master File.
- Recruitment and selection records, search committee notes, Applicant Activity Records, Voluntary Disclosure Forms, and other documents generated during recruitment and selection as described in Recruitment, Selection, and Applicant Records.
- Information regarding Workers' Compensation claims.
- Any medical and/or mental health records (whether or not such information is used to support employment-related requests or decisions), information concerning health-related benefits (including, but not limited to, health, dental and life insurance),

requests for accommodation under the Americans with Disabilities Act or other statute, and civil or criminal filings brought by the employee.

18.18.4.4 Contents of Job Files

Job files contain all of the materials related to the recruitment and selection process for a job vacancy. Prior to the closing date of a job posting, job files shall contain:

- Application materials for all applicants, including envelopes if mailed
- Job announcement (copy of flyer posted on campus job board)

After the closing date, the job file shall also contain:

- Screener (table with applicant names as rows, criteria as columns)
- Applicant Activity Records for applications that did not pass screening.

Copies of application materials that passed initial screening are sent with Applicant Activity Records to the hiring manager with a selection process checklist. After selection is complete, and the hiring packet is returned, the job file contains:

- Completed Selection Process Checklist
- Completed Applicant Activity Records for all applicants
- Final screener with all applicants listed
- Interview notes, search committee minutes, reference responses

Thirty days after the successful applicant begins work, the file is archived. This includes removal of application materials (filed with all applications for the calendar year), destruction of photocopies for which the original exists in file, and verification that the file contains all requisite documents. The archived job file contains:

- Completed Job Requisition Form
- Completed Selection Process Checklist
- Completed Applicant Activity Records for all applicants
- Screener listing all applicants
- Interview notes and search committee meeting minutes
- Reference responses for all applicants whose references were checked
- All other internal documents generated as part of the selection process

Job files shall be maintained for a period of three years from the closing date. After three years have elapsed, all contents of the job file shall be destroyed in a manner that prevents unauthorized or accidental disclosure.

18.18.5 Disposition of Inactive Records

Records of employees terminated from University employment shall be retained by the Office of Human Resources for 75 years. Records of personnel re-employed by the University shall be reactivated and updated to reflect current position. All records maintained for all periods of University employment are retained in a single employment record for the employee.

Supervisors' records shall be considered working files and information in them shall be maintained only as long as it is useful to the supervisors. Typically, this means that the records are retained during the period between performance appraisals, or until a disciplinary matter is resolved. Such files shall be destroyed in a manner that prevents accidental disclosure of personal information.

All personnel records shall be disposed of in a manner that prevents accidental disclosure of personal information. Examples of such information include:

- home addresses and/or telephone numbers;
- social security numbers;
- marital status;
- medical reports;
- performance evaluations;
- disciplinary actions, grievance or complaint information;
- payroll deductions; and
- health benefit or insurance information.

When doubts about whether a record is considered to contain personal information arise, the Office of Human Resources shall be consulted.

18.18.6 Disposition of Closed Job Files

As mentioned previously, job files shall be compacted thirty days after the successful applicant begins work. This process shall include removal of all application materials (which are then filed alphabetically with all applications for the calendar year), destruction of unaltered photocopies for which the original exists in the file, and verification that all Applicant Activity Records are complete and that the file contains all requisite documents. Once this is done, the archived job file shall contain:

- Completed Job Requisition Form
- Completed Selection Process Checklist
- Completed Applicant Activity Records for all applicants
- Screener listing all applicants
- Interview notes and search committee meeting documents or minutes
- Reference responses for all applicants whose references were checked
- All other internal documents generated as part of the selection process

Job files shall be maintained for a period of three years from the closing date. After three years have elapsed, all contents of the job file shall be destroyed.

18.18.7 Destruction of Applicant Files

Application files that are removed from closed job files, and applications that are received through any other means and are no longer under consideration, shall be filed alphabetically with all applications received during the calendar year. These files shall be retained for three years. At the end of that period, all application materials shall be destroyed.

18.18.8 Maintenance of Records

Employees' personnel records shall be maintained in a secure location. Personnel records are confidential in nature and, therefore, access to the information in them shall be limited. All records concerning current or former employees shall be stored in a location inaccessible to anyone not authorized to view the contents of personnel files, unless in use and attended by an authorized person. Authorized persons include:

- Employees of the Office of Human Resources, as required in the activity of the Office.
- The President, the Vice President for Academic Affairs and Provost, or their duly designated representatives under their direct authority and control.
- Academic Deans, Vice Presidents, Executive Directors, or other administrative officers of the University with due cause for examining employee records as determined by the designated custodian of records. Such access shall be limited to the portions of the record that bear directly on professional and academic qualifications, job performance, and employment status (Sections A and B described below).
- External agencies and entities who are entitled to review the contents of the file, according to permission granted by the employee described in the file or according to duly authorized requests of law enforcement, judicial, and

regulatory agencies; such access is limited to the specific provisions of the written permission or legal notice. (Further explanation of proper disposition of external requests for personnel records is provided below under the title, Disclosure of Records).

- The employee who is the subject of the file. (Further explanation of proper disposition of requests for personnel records by current and former employees is provided below under the title, Disclosure of Records).

The personnel files shall contain only documents that reflect information required for conducting University business. Affected employees shall receive copies of any document reflecting disciplinary action at the time it is placed in the file, and may subsequently attach rebuttals to corrective or disciplinary notices information in their respective personnel file.

18.18.9 Disclosure of Records

18.18.9.1 Employee Access

The U.S. Freedom of Information Act and the Georgia Open Records Act, in conjunction with other federal and state laws and regulations, mandate that government agencies formulate a policy with regard to records retention and disclosure; this policy include must describe how the agency maintains the confidentiality of nonpublic documents and assures the release of information to which citizens shall have access. Included in this right of access is the right of employees to view their own personnel files, and the right of employees to have information released to external entities on their behalf.

In keeping with these requirements, the University pledges to provide employees with open access to their personnel records. Requests for such access shall be made to the Director of Human Resources or to the designated custodian of records in the Office of Human Resources. In most cases, such requests shall be granted without delay. In the event that the requested records are not in the immediate control of the custodian of records (as might occur if the file has been removed for review in the course of an investigation), a delay may be inevitable. In every case, release shall be made at the earliest possible time. Under no circumstances shall the delay extend for more than ten working days. Employees may review the documents contained in their file alone or in the company of any person(s) they designate to accompany them. In order to assure the security and integrity of all University records, review of personnel files shall be conducted in the records area of the Office of Human Resources. Only an OHRS employee may remove records from this area, and only as necessary to conduct University business. However, employees may request photocopies of any or all of the documents in their

personnel files for their own use, at their own expense. All such requests shall be filled immediately.

18.18.9.2 *Release of Information at Employees' Request*

Employees may also request that specific information be released to third parties in support of an application for employment, government benefits, mortgage or other loan, or any other action that requires employment verification and/or other employment information. Certain information may be released to third parties by telephone, but this release is limited to verification of information provided by the caller. The specific information that may be verified to third parties includes affirmation of current or past employment, dates of hire and separation, position title and working title, and salary information. These details may only be verified if information is provided by the third party caller, and may never be offered in whole or in part by any employee of the University.

In some cases, additional release of information to an external entity may be needed to fill the request of an employee. When requested by a current or former employee, the OHRS shall release details of employment, performance and pay history.

Such a request must be in writing, and may be received by fax or mail or hand-delivered. The request may be a signed form or statement prepared and submitted by the external entity, and may be a photocopy or other facsimile of the original, provided that complete identifying information for the external agency is included with the request. That is, a mortgage lender or potential employer may submit a copy of a completed form with the signature of the employee as long as the document includes names of requesting individual and organization, physical address, and telephone numbers for contact. In these cases, release of information is limited to dates of employment, positions held, and accrual of pay.

In cases where more extensive information is needed, procedures for records security and confidentiality demand more extensive documentation of requests. Official requests for production of documents, referencing pending or anticipated litigation, may be accepted by mail or in person provided that they incorporate names of requesting individual and organization, physical address, and telephone numbers for contact and identify the parties to the action. Requests concerning legal action cannot be accepted by fax or telephone. Furthermore, release of information is limited to the subjects or document types referenced in the official request for production of documents, and such requests shall only be honored if received by the office of an attorney or judicial office.

18.18.9.3 *Nondisclosure of Job File Contents*

The contents of job files, including application materials, Applicant Activity Records (AAR), reference responses, criminal background check results, interview notes, search committee meeting minutes, and reasons for rejection of any candidate, are private, internal and confidential records of the University. Documents in these files are not public records and therefore are not subject to the requirements of the Freedom of Information Act or Georgia Open Records Act. Unsuccessful applicants may request, in a writing certified by notary, a copy of their AAR. The Office of Human Resources shall provide a photocopy of the AAR documenting the application that is the subject of the request within 30 days of receipt of the written, notarized request. No other information shall be released from the job file for any reason. Employees of OHRS shall not discuss, either in person or by telephone, with any person, the reason for rejection of a candidate without the express permission of the Director of Human Resources.

18.18.10 *Retention and Destruction Schedules*

In accordance with guidelines published by the Board of Regents of the University System of Georgia, records of each type shall have prescribed retention periods and destruction schedules. These are outlined briefly herein; additional details, and guidelines regarding other document classes, may be found at www.usg.edu/usgweb/busserv/introduction/index.phtml.

Where various documents stored in a single file have different retention periods, the entire file shall be retained for the longest period applicable to any of the documents. For example, the entire contents of the Master File shall be maintained for seven years following the separation of the employee.

For the main categories of documents maintained by the Office of Human Resources, the retention periods shall be as follows:

Faculty and Classified Personnel Records	7 years following separation
Student Personnel Records	5 years following separation
Family and Medical Leave Files	3 years after separation
Employment Eligibility Verification (I-9)	greater of 3 years after hire, or 1 year after separation
Affirmative Action & Equal Opportunity narrative	Permanent
Affirmative Action and Equal Opportunity detail	3 years
Human Resources Recruitment Review	3 years
Employment Policies and Procedures	Permanent
Benefits Policies and Procedures	7 years after expiration

Position Descriptions	5 years
Classified Rejected Applications	3 years after position closed
Classified Unsolicited Applications	3 months
Recruiting Pool, Search Records	3 years
Continuation of Insurance (COBRA)	3 years
Unemployment Compensation Claim records	2 years
Quarterly Transaction Registers, PICS reports	4 years
Cumulative Leave Reports, Payroll Register	50 years
Pay Authorization (Time Sheets), Pay Adjustments	5 years
Wage and Tax Reports	5 years
Paycheck Delivery Records	3 years
Payroll Check Registers	6 years

18.19 Sick Leave Pool Policy

18.19.1 Purpose

Clayton State University has developed a sick leave pool to alleviate hardships caused to an employee and the employee's family if a catastrophic illness or injury forces an employee to exhaust all earned leave time and to lose compensation.

18.19.2 Scope

This policy is administered by the Office of Human Resources and applies to all CSU employees.

18.19.3 Policy

DEFINED TERMS

Catastrophic illness or injury: A severe condition or combination of conditions affecting the mental or physical health of the employee or the employee's immediate family that requires the services of a licensed practitioner for a prolonged period of time and that forces the employee to exhaust all leave time earned by that employee and to lose compensation. The uncomplicated delivery of a child at the conclusion of a pregnancy is not considered to be a catastrophic illness or injury.

A prolonged illness or injury: An illness or injury lasting in excess of 30 consecutive calendar days in duration. Days the employee is actively at work shall not be counted as illness or injury time.

Licensed practitioner: A practitioner or physician as licensed by their respective state or country.

Immediate family: Consistent with FMLA Guidelines, immediate family includes a child, a parent, or a spouse.

A child includes: A biological, adopted, or foster child; a stepchild; a legal ward; or a person for whom the employee has (or had during the person's youth) daily responsibility to care and financially support and who is either under 19 years of age or is incapable of self-care because of a physical or mental disability.

A parent includes: A biological (or *in loco parentis*) "parent" but not a parent "in law".

Personal leave balances consist of earned or accrued leave.

A spouse includes: Husband or wife as defined or recognized under state law for purposes of marriage.

Eligible CSU employees are active, non-probationary benefits-eligible employees who have exhausted all accrued sick leave, compensatory leave, vacation and any other paid leave times to which they are entitled due to a catastrophic illness or injury.

Contributions to the sick leave pool are voluntary and may be made at designated times. Eligible CSU employees may contribute any amount of sick leave hours up to 50% of their sick leave accrual during the year that the donation is made. Contributions to the sick leave pool are irrevocable. Employees who make contributions may not stipulate who is to receive sick leave pool benefits.

Sick leave pool withdrawal requests are voluntary. Eligible CSU employees may request sick leave pool time by submitting written requests to the University's sick leave pool administrator. The request shall provide documentation of the reason for the request and the employee's expected return to work date. The University reserves the right to require additional licensed practitioner's statements from providers of its choice in order to make a determination of the request.

Hours paid from the sick leave pool shall be calculated at the employee's regular full-time equivalency. An employee cannot receive sick leave pool pay in an

amount greater than the employee's regular base rate. The department(s) that normally bears the employee's earned sick leave expense shall also bear the expense of leave awarded from the sick leave pool. Any unused balance of sick pool leave granted to an employee returns to the pool.

Employees on sick pool leave continue to accrue regular earned sick leave and vacation. Regular earned sick and vacation leave must be exhausted before qualifying for additional sick leave pool time.

Withdrawal requests shall be processed on a first-come, first-served basis, regardless of method of delivery, according to date and time of receipt by the Office of Human Resources.

An Eligible CSU employee may not request, nor be granted, less than 40 hours from the sick leave pool unless the request is related to the death of an immediate family member. If less than 40 hours are available in the sick leave pool, the employee's request shall be held and shall be processed when 40 hours or more become available in the pool. If 40 hours or more are available in the sick leave pool, but fewer hours are available than the employee requests, the employee is granted the number of hours in the sick leave pool, up to the limits included in this policy. Though the employee may receive fewer hours than the requested number, the request is not held, nor is additional time granted retroactively should hours become available at a later time. The employee may make a new request for withdrawal of sick leave pool time which request would be processed according to regular withdrawal guidelines.

An Eligible CSU employee may request up to 24 hours of sick leave pool time due to the death of his/her immediate family member if the employee's personal leave balances have been exhausted. Employees shall be granted sick leave pool time in an amount not to exceed 30 consecutive working days or one-third of the balance of hours in the leave pool, whichever is less.

An Eligible CSU employee may receive a maximum of 480 hours from the sick leave pool during their combined CSU employment period.

The estate of a deceased CSU employee is not entitled to payment for unused leave acquired by that employee from the sick leave pool or previously donated to the pool.

The following lists the attributes of employees who are deemed ineligible to participate in the sick leave pool:

- a) Those persons employed (i) less than one-half the standard workload, or (ii)

- irregularly, seasonally or temporarily for a definite period of less than four and one-half months during an academic year;
- b) Student employees for whom student status is a required condition of their employment;
 - c) Retirees from CSU;
 - d) Employees on leave without pay are not eligible unless their leave without pay status is a result of depleting accrued paid leave because of the qualifying illness or injury. If an employee has returned from leave without pay, the employee is ineligible until he or she completes a minimum of 30 active workdays; and,
 - e) Employees currently experiencing a work-related catastrophic illness or injury that is covered by Workers' Compensation insurance are not eligible to withdraw time from the leave pool.

18.20 Tax Deferred Annuities Policy

18.20.1 Purpose

The purpose of this policy is to set forth the guidelines under which CSU sponsors a tax deferred annuity program for eligible employees.

18.20.2 Scope

This policy applies to all regular, benefit eligible CSU employees.

18.20.3 Policy

18.20.3.1 Employees

Tax sheltered annuities (TSA) permit employees to defer payment of federal income taxes on a portion of their income to later periods. Such taxes are not due until the funds are withdrawn. CSU's TSA program is a qualified plan under Section 403(b) of the Internal Revenue Code. Investments are made through life insurance companies and mutual fund companies licensed to do business in the State of Georgia and approved by Clayton State University (Carriers).

All regular, benefits-eligible CSU employees may elect to purchase a TSA at any time. The TSA shall become effective on the first day of the month following such election. Voluntary contributions from the employee shall only be made through payroll deduction. There shall be no matching contribution by the State of Georgia or Clayton State University for the TSA. An employee shall execute a Salary Reduction Agreement form authorizing the Office of Human Resources to reduce future earnings and purchase a TSA with the chosen Carrier on behalf of the employee. Any Salary Reduction Agreement submitted which is incorrect or incomplete will be returned to the employee. It is the responsibility of the employee to resubmit a corrected Salary Reduction Agreement within the payroll eligibility period. The final Salary Reduction Agreement submitted shall determine the effective date of the employee's participation. All TSA funds shall be forwarded by Clayton State University to Carriers within 10 business days after the close of each month.

The maximum amount of salary which shall qualify each tax year for tax deferment shall be determined annually by the employee and his or her agent. This determination is necessary in order to avoid violating the IRS regulations regarding exceeding the maximum allowed tax deferment. It shall be the responsibility of the employee to submit a new salary reduction form to the Office of Human Resources when this calculation shows that the contribution amount should be changed.

It is the employee's responsibility to select his or her investment vehicles and the federal income tax status of contributions. Clayton State University assumes no liability or responsibility either for federal income tax aspects of the TSA program or for the terms and provisions of any annuity contracts issued thereunder.

Employees may stop the TSA payroll deduction at any time by submitting a request to the Office of Human Resources, which shall go into effect on the first day of the month following receipt of the request. Employees may make withdrawals from a TSA account upon termination from employment with CSU or reaching age 59 1/2.

18.20.3.2 Carriers

A list of approved CSU Carriers shall be made available to employees through the Office of Human Resources.

Representatives of approved Carriers shall not initiate contact with employees. Employees interested in a TSA shall directly contact one of the listed representatives of the Carrier of their choice to obtain information and to secure forms to apply for the program of their choice.

Representatives of Carriers are permitted at Clayton State University as guests and are expected to comply with all applicable rules and regulations, including current CSU parking regulations.

The Carrier shall not conduct or sponsor campus mailings or telephone campaigns to campus offices. The Carrier shall not provide gifts or monetary rewards in exchange for information about newly hired employees.

Carrier forms shall be the responsibility of the Carrier and the employee. Carrier representatives shall be familiar with the benefits provided under TRS and with applicable Georgia laws, Board of Regent rules and regulations, and Internal Revenue Service Code.

Clayton State University reserves the right to limit or revoke the solicitation privileges of any representative or Carrier in its sole discretion.

18.21 Telecommuting Policy

18.21.1 Purpose

This policy defines telecommuting and outlines the conditions under which the University shall permit its employees to telecommute.

18.21.2 Scope

Telecommuting, the practice of working from home or at a site near the home instead of physically traveling to a central workplace, is a work alternative that the University may offer to some employees based upon (1) an employee's performance assessment, (2) the specific job requirements and measurable outcomes, and (3) the overall needs of the customers of the position and the University.

18.21.3 Policy

Telecommuting is not a formal, universal employee benefit but rather, an alternative method of meeting the needs of the University. Since telecommuting is a privilege, the University has the right to refuse to offer telecommuting to any employee and to terminate a telecommuting arrangement at any time. Unless authorized by his/her

supervisor, an employee shall not be allowed to telecommute before the employee has successfully completed six (6) months of employment and has demonstrated superior performance and customer service, as well as outstanding quality in his/her completed work assignments.

University employees shall not be required to telecommute, and may refuse to telecommute if the option is made available to them. Employees granted the privilege to telecommute shall have the right to cease telecommuting and return to their former in-office work assignment through a mutual agreement with their immediate supervisor and division vice president.

18.22 Employee Work Schedules

18.22.1 Purpose

The purpose of this policy is to establish the University's administrative office hours and employees work schedules.

18.22.2 Scope

This policy applies to all CSU employees.

18.22.3 Policy

General administrative office hours for Clayton State University are Monday through Friday, 8:00 a.m. - 5:00 p.m. An employee's regular workday shall consist of 8 hours of work with an unpaid lunch break of at least 30 minutes. An employee's normal hours of work may vary by departmental unit and type of appointment. The University shall grant employees flexible work arrangements, at the discretion of vice-presidents or their designees, to enable employees to serve customers, meet University needs and departmental goals, and balance personal and professional responsibilities. Permission to work a flex work schedule or telework is a privilege and not a right. An employee may request a flexible work arrangement that differs from standard operating hours. Supervisors shall approve flexible hours and telecommuting on a case-by-case basis.

18.23 Workers' Compensation and Return to Work Policy

18.23.1 Purpose

The University System of Georgia provides benefits for employees in the event of work-related injuries, illnesses, exposures or accidents as the means to return employees to meaningful, productive employment following the injury or illness. When an injury, accident, exposure or illness is sustained as a result of, out of, or in the course of employment, all employees of the University System of Georgia shall be covered under provisions of the Workers' Compensation Act.

This policy outlines the requirements associated with reporting injuries or illnesses that arise in or out of the course of employment and the coverage that shall be made available ensures consistency among institutions of the University System as necessary for meeting applicable reporting requirements. This shall provide employees and supervisors information concerning employee benefits and instructions for treatment of work related illnesses, injuries, accidents or exposures, and completion of the required forms.

This policy also provides a program designed to encourage employees to return to work following a work-related injury or illness. If an employee is able to work but is unable to return to his or her regular duties, this policy is designed to provide methods by which consideration may be given to allow the employee to return to work in a modified or alternative assignment, when possible. This policy applies to classified and University staff employees, wage employees, and where appropriate, it applies to faculty employees who have sustained occupational injuries and non-occupational (personal) illnesses and injuries.

18.23.2 Scope

This policy applies to all CSU employees and is administered by the Office of Human Resources.

18.23.3 Policy

18.23.3.1 Definitions

These definitions apply to these terms as they are used in this policy:

Board of Regents: The governing body of the University System of Georgia

Disability: An illness, injury or other medical condition, including pregnancy, that prevents an employee from performing the duties of his/her job. A disability can be total or partial.

DOAS: State of Georgia Department of Administrative Services

Authorized Treating Physician: An approved doctor, clinic or facility that may be used in case of a workers' compensation claim that requires treatment.

Emergency: An injury that requires immediate medical attention.

“manager” is defined as the individual to whom an employee, contractor, or consultant directly reports and “CSU official” is defined as the individual (e.g. vice president, dean, department head, executive director, director, manager) who is sponsoring the work of non-CSU affiliates, such as visiting faculty.

Modified/Transitional Assignment: A temporary job modification that is provided when an employee returns from a work-related injury or illness to medically-restricted or modified duties. Duties assigned can be those identified in the employee's current job description with restrictions or another assignment at the discretion of management.

Workers' Compensation: Program of compensation insurance that pays benefits to an employee who experiences a job-related injury.

Work-Related Injury/Illness: An injury or illness that occurs on the job to an eligible employee for which benefits are awarded and payable by Workers' Compensation.

18.23.3.2 Overview

In accordance with the regulations issued by the Georgia Department of Administrative Services, the University System of Georgia (USG) provides Workers' Compensation coverage for all of its employees on all campuses statewide. All USG employees are also covered when conducting business off-site on behalf of the University System of Georgia. All USG employees as well as USG leased employees shall report promptly to their immediate supervisor any work-related injury. If an employee requires treatment or has any lost work days for a work related accident, injury, exposure or illness, the employee's supervisor shall report the injury to the Georgia Department of Administrative Services (DOAS) at 1-877-656-7475. In turn, the employee shall contact Amerisys at 1-800-900-1582

for assistance in selecting an Authorized Treating Physician. The provider of service shall send any bills for treatment directly to the DOAS in Atlanta.

USG and CSU encourage injured employees to return to work as soon as it is reasonably possible in accordance with DOAS guidelines. Individual campus benefits departments should work with each employee and their department to develop opportunities to return to work in transitional capacities. A Return-To-Work Program includes an assessment/identification of duties that can be performed during a period of transition to allow an injured employee to work even though he/she may not be able to resume his/her full duties.

If the employee is not physically capable of returning to full duty initially, the Return-To-Work Program provides opportunities for offering the employee a temporary assignment in which the employee's regular position is modified: 1) to accommodate the employee's physical capabilities, or 2) to perform a transitional assignment with alternate duties. Assignment of any employee to a transitional position or modified regular position in accordance with the Return-To-Work Program, including determination of the pay rate for the transitional position, requires review and approval from the Office of Human Resources. In the case of a faculty member, the Office of Human Resources shall work with the Vice-President for Academic Affairs to determine appropriate transitional work and compensation.

Participation in the Return-To-Work Program shall not be construed as acceptance, acknowledgment, or recognition by the university, its management, or its employees that an employee has a disability as defined by the Americans with Disabilities Act of 1990. If an employee sustains an injury or illness resulting in a disability under the Americans with Disabilities Act, it is the employee's responsibility to inform his or her supervisor or a person in a responsible management position when a disability under the Americans with Disabilities Act exists and that a reasonable accommodation is necessary to perform the essential functions of his or her job.

18.23.3.3 Process/Procedures

18.23.3.3.1 Transitional Duty for Occupational Injuries and Illnesses

As soon as the employee is released to return-to-work activities, the employee shall be asked to meet with the supervisor to determine if the employee can return to his or her regular duties. If the employee cannot immediately return to his or her regular duties, the employee may be given a special assignment as follows:

1. Assignment to the employee's regular position with temporarily modified duties designed for an employee who is temporarily unable to function at full capacity in the regular position due to work-related illness or injury, but who is expected to return to regular duties within ninety (90) days. Such duty modification requires the certification of the employee's treating physician. Once the physician certifies that an employee can return to work with temporarily modified duties, the supervisor must return the employee to work and provide the modified duties based on the employee's physician-certified medical restrictions.
2. Return to work to a transitional position with different duties designed for employees who are temporarily unable to function at full capacity in the regular position due to work-related illness or injury, but who are expected to return to regular duties within ninety (90) days. The employee must possess the knowledge, skills, and abilities required to function in the transitional position. Such temporary reassignment is to be used only when temporarily placing the employee in the transitional position would provide mutual benefits to the university and the employee, and when no current employee would be displaced by such reassignment. Such temporary reassignment requires the certification of the employee's treating physician. Once the physician certifies that an employee can return to work with different duties, the supervisor must return the employee to work in the transitional position and adhere to the employee's physician-certified medical restrictions.

18.23.3.3.2 Employee Responsibilities

If medical services are needed, the employee must contact Amerisys to receive assistance in selecting an Authorized Treating Physician. If released by a physician to modified or transitional duty, the employee must accept the modified duties or transitional assignment offered. Failure to follow the agreed-upon course of action may jeopardize the employee's benefits.

An employee in a special, transitional assignment is responsible for providing a periodic report from his/her health care provider (for example, every 30 days) during the period of the temporary assignment.

18.23.3.3.3 Supervisor Responsibility

The supervisor is responsible for promptly reporting any accident, injury, exposure or illness that does not require medical treatment to Public Safety.

If immediate medical attention is needed for the injured employee, the supervisor shall report by contacting the Georgia Department of Administrative Services (DOAS) at 1-877-656-7475. If emergency medical treatment is necessary, the

injured employee must be directed or taken to the nearest hospital Emergency Room. If the doctor recommends that the employee not return to work immediately following a required treatment, the supervisor must notify the Human Resources Benefits Section on campus or off campus within 24 hours of injury, including the expected return date, if known. The Human Resources Benefits Section must also be advised of the option selected by the employee whether the employee chooses to use sick leave, annual leave or leave without pay while out due to the covered injury.

As soon as possible after notification of a work related automobile accident or serious bodily injury, the supervisor should notify University Public Safety. An examination of the facts surrounding the accident shall be made in an effort to prevent recurrence of the incident. Supervisors are expected to work with Human Resources to identify options for an employee's return-to-work, including identification of duties that can be performed.

18.23.3.3.4 Department Responsibilities

When requested to provide modified or transitional duties, managers are expected to actively assess the workplace for appropriate tasks and duties to encourage the employee's return to work.

As a part of this determination, transitional duties must meet the University staffing needs and must accommodate the employee's medical restrictions while taking into consideration the welfare and safety of the employee, co-workers, students, and customers.

An employee who returns to work in a special assignment may be assigned to another work site within the university, depending upon the availability of vacant positions or the limitations and abilities of the employee. An employee shall not be placed into a position if such assignment would displace another current employee.

Transitional assignments require advance approval of the human resources department. If a transitional assignment warrants a pay change for the affected employee, the human resources department is responsible for determining the correct pay rate for the transitional assignment. In the case of a faculty member, the Office of Human Resources shall work with the Chief Academic Affairs Officer to determine appropriate transitional work and compensation.

18.23.3.3.5 Duration of Transitional Duty Assignments

The duration of the transitional duty assignment shall be determined on a case-by-case basis by the employee's department in consultation with the University's

Return-to-Work (RTW) Coordinator or designee, but shall not normally exceed ninety (90) days. If it is determined that the employee has long-term restrictions that result in the inability to perform the essential functions of the regular position, the provisions of the Americans with Disabilities Act (ADA) and other applicable laws shall be evaluated to determine suitability for employment.

18.23.3.3.6 ADA Compliance

The University System of Georgia and CSU comply with the Americans with Disabilities Act of 1990 which prohibits discrimination against qualified individuals with disabilities. Nothing in this policy shall be used as the basis for illegal discrimination against any individual or group.

18.23.3.3.7 FMLA Compliance

The University System of Georgia and CSU comply with the Family and Medical Leave Act of 1993, and as amended. Should a work related injury or illness be covered by the FMLA, the institution shall apply the provisions of the appropriate policy.

18.23.3.3.8 Workers' Compensation/Return-To-Work Compliance

It is a violation of the Return To Work Policy, procedures, and state and federal law to discharge or in any other manner discriminate against an employee because he or she:

- Files a Workers' Compensation claim in good faith;
- Hires a lawyer to represent his or her interests in a Workers' Compensation claim; and/or
- Institutes or causes to be instituted in good faith a proceeding with the Georgia State Board of Workers' Compensation.

18.23.3.3.9 Workplace Safety

The University shall make every reasonable effort to investigate the cause of the occupational injury or illness to determine what actions can be taken to prevent a reoccurrence of the injury or illness. An employee shall not be placed into a transitional or regular position if such an assignment would place the employee or others in danger.

18.23.3.3.10 Medical Expenses

Charges for first aid treatment, hospital bills, prescription drugs, doctor's charges, etc., are covered provided the proper procedures are followed as outlined above for reporting the accident and treatment of the employee.

18.23.3.3.11 Payment for Lost Time

The Workers' Compensation Law provides benefits of 66 2/3% of an employee's average weekly earnings up to a maximum of \$525.00 per week. No compensation is allowed for the first seven calendar (7) days of incapacity (including the day of the injury) unless the employee is incapacitated for twenty-one (21) consecutive work days following the injury, in which event compensation is allowed for the first seven (7) days of incapacity, if an employee has not used accrued leave.

18.23.3.3.12 Employee Options

An employee has the following options on the use of Sick Leave or Annual Leave for absence due to a Workers Compensation claim:

- Use accrued sick or annual leave for the first seven (7) calendar days in order to be paid full salary, and then elect to receive Workers' Compensation during the remaining period of injury-related absence, or
- Exhaust all accrued sick leave and annual leave (in that order) and then receive Workers' Compensation, or
- Retain all accrued sick leave and annual leave, and after the seven (7) day waiting period (without pay), receive Workers' Compensation during the remainder of the injury-related absence.

Note: If an employee has no accrued sick or annual leave, any absence during the first seven (7) days must be Leave Without Pay (LWOP).

18.23.3.3.13 Bona Fide Offer of Modified or Transitional Employment

Assignment to any of the type of positions described in this policy shall be documented in a 'bona fide offer of modified or transitional employment' letter to the employee. The 'bona fide offer of modified or transitional employment' letter shall include the following information:

- The type of position offered and the specific duties;

- A statement that the university is aware of and shall abide by the physical limitations under which the treating physician has authorized the employee to return to work;
- The maximum physical job requirements;
- The wage of the job;
- The expected assignment duration;
- A statement that the university cannot guarantee that a position shall be available should the employee fail to accept the assignment; and
- The name of the person whom the employee can contact for answers to questions about the assignment, job modifications, or other relevant leave provisions

The employee may accept or reject the bona fide offer of employment. The employee should be informed that rejection of the bona fide offer of employment may jeopardize continued temporary income benefits (if applicable). If the employee accepts the bona fide offer of employment, then the employee shall perform the duties of the position for the term of the assignment or until the employee is able to return to full duty, whichever is sooner. If the employee rejects the bona fide offer of employment, then the employee remains off-work until the end of any approved leave period or until the employee is certified by the health care provider to return to full duty.

If the employee is unable to return to full duty by the end of the assignment period and/or by the end of the employee's approved leave period, then the employee's continued employment with the University shall be considered based upon the business necessity of filling the employee's position. Nothing in this policy shall be construed as requiring an institution to retain an employee who is not able to return to work following a workplace injury, and such decisions regarding continued employment shall be the sole discretion of management with appropriate consideration and attention given to relevant laws.

18.24 Copyright Policy

18.24.1 Purpose

The purpose of this policy is to demonstrate the University's commitment to the protection of original scholarship and other creative works.

18.24.2 Scope

This policy applies to the University community.

18.24.3 Policy

As a system devoted to providing the highest quality undergraduate and graduate education to students, pursuing leading-edge basic and applied research, scholarly inquiry, and creative endeavors, and bringing intellectual resources to the citizenry, the University System of Georgia and Clayton State University are committed to respecting the rights of copyright holders and complying with copyright law. Both recognize that the exclusive rights of copyright holders are balanced by limitations on those rights under federal copyright law, including the right to make a fair use of copyrighted materials and the right to perform or display works in the course of face-to-face teaching activities.

The University System of Georgia and CSU facilitate compliance with copyright law and, where appropriate, the exercise in good faith of full fair use rights by faculty and staff in teaching, research, and service activities. Specifically, the University System of Georgia and CSU:

- inform and educate students, faculty, and staff about copyright law, including the limited exclusive rights of copyright holders as set forth in 17 U.S.C. § 106, the application of the four fair use factors in 17 U.S.C. § 107, and other copyright exceptions;
- develop and make available tools and resources for faculty and staff to assist in determining copyright status and ownership and determining whether use of a work in a specific situation would be a fair use and, therefore, not an infringement under copyright law;
- facilitate use of materials currently licensed by the University System of Georgia and provide information on licensing of third-party materials by the University System; and
- identify individuals at the University System and CSU who can counsel faculty and staff regarding application of copyright law.

18.25 Trademark Policy

18.25.1 Purpose

This policy describes how trademarks and trademark applications are handled at CSU.

18.25.2 Scope

This policy applies to the University community. The President and the Vice President of Business & Operations administer this policy.

18.25.3 Policy

What is a trademark?

A trademark (or mark) is any logo, symbol, nickname, letter(s), work(s), word(s), slogan, or derivative that can be associated with an organization, company, manufacturer, or institution and can be distinguished from those of other entities or competitors. For purposes of this policy, the term “trademark” shall include all trademarks, service marks, trade names, seals, symbols, designs, slogans, and logotypes developed by or associated with the USG or any of its institutions, or not yet registered under federal and state trademark statutes.

In addition to the marks listed above, any indicia adopted hereafter and used or approved for use by Clayton State University shall be subject to the CSU’s trademark policies and procedures. Additionally, the trademark licensing shall also cover any derivations of CSU marks which would cause consumers to erroneously believe that the product originated from, or was sponsored/authorized by, the University.

Who Needs a License?

Licenses must be obtained for the use of any CSU trademark, image, or photograph used for any product offered or sold to the general public or to campus departments and organizations. In addition, companies or organizations wanting to associate

with the University through any use of its trademarks must obtain the appropriate approval and licenses.

University and Athletic marks cannot be used by political campaigns, or candidates, nor may CSU marks be used for any political initiatives of any sort.

The registered trademark symbol ® must always accompany a registered mark. The trademark symbol TM must always accompany the marks that are in the process of being registered

The Board of Regents of the University System of Georgia guidelines for use of marks and logos must also be adhered to. These guidelines are as follows:

1. Marks and logos cannot be used on any services, goods or items in a manner which may cause embarrassment or ridicule to CSU.
2. Marks and logos shall not be used in conjunction with:
 1. Alcoholic beverages;
 2. Drugs;
 3. Religious content;
 4. Sexually oriented goods;
 5. Goods which make unfavorable reference to the race, gender, sexual orientation, national origin, or disability of a person;
 6. 6. Toilet seats and the like; and
 7. 7. Any item which does not meet minimum standards of quality and good taste as determined by CSU.

All trademarks of USG institutions constitute property of the Board of Regents of the University System of Georgia and all applications for registration under Federal and State laws pertaining to trademark registration shall be made in the name of the Board of Regents of the University System of Georgia.

18.26 Gratuities Policy

18.26.1 Purpose

The purpose of this policy is ensure University employees comply with Georgia law regarding the prohibition of receiving or giving gifts, where the purpose of the gift is to influence an employee in the performance of his/her official functions.

18.26.2 Scope

This policy applies to all University employees.

18.26.3 Policy

An employee of the Board of Regents shall not directly or indirectly solicit, receive, accept, or agree to receive a thing of value by inducing the reasonable belief that the giving of the thing will influence his/her performance or failure to perform any official action. The acceptance of a benefit, reward or consideration where the purpose of the gift is to influence an employee in the performance of his/her official functions is a felony under O.C.G.A. § 16-10-2.

A USG employee, or any other person on his/her behalf, is prohibited from knowingly accepting, directly or indirectly, a gift from any vendor or lobbyist as those terms are defined in Georgia statutes (O.C.G.A. § 21-5-70(6) and 45-1-6(a)(5)b). If a gift has been accepted, it must be either returned to the donor or transferred to a charitable organization.

A gift may be accepted by the employee on behalf of CSU subject to reporting requirements of the Board of Regents. If the gift is accepted, the person receiving the gift shall not maintain custody of the gift for any period of time beyond that reasonably necessary to arrange for the transfer of custody and ownership of the gift.

For purposes of this policy a gift is defined as lodging, transportation, personal services, a gratuity, subscription, membership, trip, loan, extension of credit, forgiveness of debt, advance or deposit of money, or anything of value.

A gift shall not include:

Food or beverage consumed at an occasional meal or event, provided the value is reasonable under the circumstances but in no event exceeds \$100 per person.

Food, beverages, and registration at group events to which substantial numbers of CSU employees are invited.

Food, beverage, or expenses afforded employees, relatives or others that are associated with normal and customary business or social functions or activities.

Actual and reasonable expenses for food, beverages, travel, lodging and registration provided to permit participation in a meeting, demonstration, or training related to official or professional duties if participation has been approved in writing by the Chancellor, the President, or his/her designee.

Promotional items generally distributed to the general public.

Textbooks, software, and instructional materials to be reviewed by teaching faculty.

An award, plaque, certificate, memento, or similar item given in recognition of the recipient's civic, charitable, political, professional, private or public service or achievement.

Legitimate salary, honoraria, benefit, fees, commissions, or expenses associated with the recipient's non-public business, employment, trade, or profession.

Gifts from a person or entity who is neither a lobbyist nor a vendor as those terms are defined in State Statutes, nor a student or patient at an institution.

Consulting fees, honoraria, or financial benefits from sponsors or foundations, received in conformance with USG policies, CSU policies, and Georgia law.

Gifts to or from USG foundations or other separately incorporated, charitable entities.

18.26.3.1 Appearance of Conflicts of Interest

An employee shall make every reasonable effort to avoid even the appearance of a conflict of interest. An appearance of conflict exists when a reasonable person will conclude from the circumstances that the employee's ability to protect the public interest, or perform public duties, is compromised by personal interest. An appearance of conflict can exist even in the absence of a legal conflict of interest. Employees are referred to State Conflict of Interest Statutes O.C.G.A. §45-10-20 through §45-10-70, Section 8.2.15.1 through 8.2.15.3 of the Board of Regents' Policy Manual, and other CSU policies governing professional and outside activities.

18.26.3.2 Other Rules of Conduct

Every employee shall make a due and diligent effort to determine whether he/she has a conflict of interest or appearance of conflict before taking any action.

Every employee shall continually monitor, evaluate, and manage his/her personal financial and professional affairs to ensure the absence of conflicts of interest and appearance of conflicts.

18.26.3.3 Violations

A violation of this policy may subject an employee to disciplinary action, including termination of employment.

18.27 Publicity Policy

18.27.1 Purpose

The purpose of this policy is to provide guidance to employees on how to respond to press or other news media inquiries.

18.27.2 Scope

This policy applies to all CSU employees.

18.27.3 Policy

All inquiries about CSU from the press or other news media outlets shall be directed to the Media Office.

18.28 Fair Labor Standard Acts Policy

18.28.1 Purpose

The purpose of this policy is to ensure CSU complies with the federal Fair Labor Standards Act (the “Act”) with regard to exempt and non-exempt employees.

18.28.2 Scope

This policy applies to all CSU employees.

18.28.3 Policy

All non-exempt staff employees are covered by the provisions of this Act which, in part, establishes a minimum hourly wage and requires the payment of overtime for work in excess of 40-hours per week at a rate not less than one and one-half times the employee's regular hourly rate of pay. Overtime shall not be paid until the employee has worked 40-hours in one week, not including holiday, vacation, or sick leave. For the purposes of calculating a 40-hour workweek, the week begins at 12:01 a.m. Sunday and ends at midnight the following Saturday.

Should any employee be required to work beyond the normal 8 hour day, the direct supervisor may make provisions for comparable time off to compensate for the overtime within that 40-hour workweek. If that is not possible, then such overtime shall be recorded on the time records and paid as overtime in accordance with FLSA provisions.

A minimum workweek of 40-hours shall be observed by all full-time staff employees. The requirements of the various operations of the University are highly diverse and different/flexible work schedules may be adopted to meet these needs. The schedules for a given department shall be established by that department head, subject to the approval of the administrative officer. Most offices shall be open from 8:00 a.m. to 5:00 p.m. Monday through Friday and as required by some departments in the evening and on weekends. The employee's work schedule may differ in some departments, but only by mutual agreement between the employee and supervisor. Any flexible scheduling or teleworking shall be done in accordance with University policy. For additional information visit the website <http://adminservices.clayton.edu/ohr/benefits/flex.htm>.

Timesheets shall be completed for all biweekly employees and are due in the Payroll Office no later than 9:00 a.m. on the Friday before the end of the pay period. Any vacation or sick leave should also be recorded on the timesheet. The employee and supervisor shall both sign the timesheet indicating approval of the hours reported. If timesheets are not received in the Payroll Office on time the payroll check may be delayed until the following payday.

Payroll records are subject to audit and will reflect actual time worked and leave taken. Any intentional falsification of time records may be grounds for termination of employment.

If an employee's work situation permits, his/her supervisor may authorize the employee to take one 15 minute break each full workday. The employee may leave the work area during the break. Where it is necessary to have someone on duty at all times, care should always be taken to see that the employee's work area is covered. An employee is not permitted to forego "breaks" to accumulate extra time off in the future.

An employee's lunch period will be determined by the needs of the individual department or office. The employee's supervisor will inform him/her of the lunch schedule. Unused lunchtime shall not be routinely accumulated to shorten the workday. Lunch periods shall be at least 30 minutes depending on the individual department, while ensuring the 40-hour workweek commitment is met.

During peak workloads, or emergencies, it may be necessary for a supervisor to require an employee to work overtime. The standard workweek is 40-hours for employees who are non-exempt under the Fair Labor Standards Act. In these situations the supervisor will provide the employee with as much notice as reasonably possible.

When work is authorized to exceed 40-hours worked in any one week for non-exempt personnel, overtime is compensated. Non-exempt personnel may not work more than 40-hours a week unless prior approval has been given by their supervisor. Non-exempt employees who come under the Fair Labor Standards Act shall be compensated at one and one-half times their standard pay rate or time for all work beyond 40-hours.

There shall be no accrual or payment for overtime worked by classified personnel who are determined to meet all the tests for exemption under the Fair Labor Standards Act. Exempt personnel are expected to plan their time and work as is necessary to perform their assignments in a satisfactory manner and to ensure departmental effectiveness.

18.29 Promotion and Transfers Policy

18.29.1 Purpose

The policy ensures that all vacant positions at CSU are posted on the CSU job board and sets for the eligibility criteria required for those employees who are interested in applying for such positions.

18.29.2 Scope

This policy applies to all University employees.

18.29.3 Policy

CSU employees who have a history of satisfactory performance and who have successfully completed their probationary period shall be eligible to apply for promotion or transfer to other positions. There are a number of factors which influence promotions and advancement. Qualification to perform the advanced work is the most important factor, as well as an individual's performance in his/her current position.

A lateral transfer is the shift of an employee from one position to another of the same classification or to one with comparable skills and in the same general pay range.

Transfers shall be based on mutual agreement between departments or between institutions.

Every classified vacancy that occurs on campus shall be posted on the job announcement board outside the entrance of the Department of Human Resources Office and on the Human Resources webpage. Any employee interested in a vacancy shall complete an online application form by following the instructions on the Department of Human Resources webpage <https://clayton.peopleadmin.com/>.

18.30 Drug Free Workplace Policy

18.30.1 Purpose

The purpose of this policy is to maintain an environment that complies with Board of Regents policy, applicable state and federal laws (applicable federal and state laws include, but are not limited to, the Drug Free Workplace Act of 1988 and Georgia Drug Free Postsecondary Education Act of 1990).

18.30.2 Scope

This policy applies to the University community.

18.30.3 Policy

It is the policy of the Clayton State University that illicit drug use, including their manufacture, sale, distribution, dispensation, possession, or use is prohibited in the workplace, on the campus, or as part of any University activities.

University policy prohibits the unlawful possession, use, or distribution of illicit drugs and alcohol on the campus and at University-sponsored events held off campus and is intended to protect and support the employees and students of Clayton State University. Any employee admitting to or convicted of the unlawful possession, use, or distribution of illicit drugs and/or alcohol on the campus or at University-sponsored events held off campus shall be subject to disciplinary action (up to and including suspension, suspension without pay, and/or termination), may be referred for prosecution, and may be required to satisfactorily participate in a drug and alcohol assistance or rehabilitation program as agreed upon between the employee and the Department of Human Resources.

18.31 Smoke Free Workplace Policy

18.31.1 Purpose

This policy's purpose is to protect the health and well-being of faculty, academic professionals, staff, and students at Clayton State University.

18.31.2 Scope

This policy applies to the University community.

18.31.3 Policy

The University prohibits all smoking inside campus buildings. Specific areas outside campus buildings are designated for those individuals who wish to smoke.

University Regulations on Smoking:

1. Smoking in campus buildings is prohibited.

2. Smoking is prohibited within 30 feet of all building entrances/exits/open windows.
3. Immediate supervisors shall have the responsibility for ensuring that all employees are aware of University policy related to smoking and, in the event of violations by an associate, taking appropriate disciplinary action.

Clayton State University seeks to assist smokers in complying with institutional policy related to smoking. To that end and to encourage cessation, the University provides employees with information about assistance programs available from the health insurance plans provided as part of the employee benefits program. Contacts for local agencies offering stop smoking programs are available in the Department of Human Resources.

18.32 Employee Terminations

18.32.1 Purpose

The purpose of this policy is to establish guidelines of conduct in the event an employee resigns, retires, is terminated or demoted.

18.32.2 Scope

This policy applies to all CSU employees. When applying this policy, CSU employees shall consider the University's Access Privileges Policy, Policy 607.

18.32.3 Policy

18.23.3.1 Resignation

Employees who resign for any reason shall give the supervisor a minimum notice of 2 weeks. All resignations shall be submitted in writing. A longer notification period may be agreed upon in certain positions.

CSU encourages employees who resignations are due to their retiring to give at least a 30 days' notice in order to ensure all of the associated documentation is prepared, submitted and processed in a timely manner.

18.23.3.2 Termination for Cause

Georgia is an employment at will state. Employees may be terminated for misconduct, including violation of University policy, or any other conduct

detrimental to the University or its reputation, operations or activities. Termination for cause may also include termination due to the employee's unwillingness or inability to adequately perform his/her job responsibilities or for insubordination.

18.23.3.3 Dismissal, Demotion and Suspension

Dismissal, demotion, or suspension of classified employees may be affected by the employee's supervisor when the supervisor determines that the employee's job performance or personal conduct is unsatisfactory.

The employee shall be informed in writing of the reasons for the demotion or suspension and granted a reasonable opportunity (not less than 5 working days) to respond to the next highest authority prior to the effective date of the action; provided however, that under emergency circumstances when immediate action is necessary, the employee may be forthwith dismissed, demoted or suspended with or without pay, by the immediate supervisor, pending a review by the next highest authority.

Any such employee also shall be entitled to the procedural protections of a hearing before a Board of Review convened pursuant to the appeals procedure upon request made within 15 working days following the adverse personnel decision of the employee's supervisor, provided that the Board of Review hearing may take place either before or after the effective date of the personnel decision in question.

An employee who has been dismissed or suspended without pay and is later reinstated shall be entitled to recover back pay unless the President or the President's designee determines otherwise.

Classified employees who are terminated, demoted or otherwise adversely affected by reorganization, program modification or financial exigency, as approved or determined by the President or the President's designee, shall not be governed by the procedures described in the dismissal, demotion or suspension procedure or the appeals procedure. Such employees shall, however, have the right of appeal to the Board of Regents as provided in Article IX of the Bylaws of the Board of Regents.

18.32.3.4 Exit Interview

All regular employees who are terminating their employment shall participate in an exit interview conducted by the Department of Human Resources. At that time, employees shall receive all pertinent information regarding their separation, complete all necessary paperwork, and return any identification cards, keys, or other institutional property to the University. This interview shall also give

employees an opportunity to express their thoughts about their employment experience at Clayton State University.

18.33 Identification Cards

18.33.1 Purpose

The policy enables a secure educational environment at CSU.

18.33.2 Scope

This policy applies to all full-time and part-time permanent faculty, academic professionals and staff.

18.33.3 Policy

The LakerCard is the official Student, Faculty, Academic Professional and Staff ID for Clayton State University. It is also a Library card and an optional pre-paid financial transaction card. An employee shall use the LakerCard the entire time he/she is employed at Clayton State University.

The LakerCard shall automatically be issued to full-time and part-time permanent faculty, academic professionals and staff. Temporary staff may receive a LakerCard if authorized by their manager and the LakerCard Center. If employees lose the ID card, they must replace it at their own expense. For full details visit the website at <http://www.clayton.edu/auxiliaries/lakercard>.

18.34 Changes in Employee's Status

18.34.1 Purpose

It is vital that a current emergency contact be maintained in the personnel file in the event of an accident or injury to the employee during working hours.

18.34.2 Scope

This policy applies to all CSU employees.

18.34.3 Policy

It shall be the employee's responsibility to notify the Department of Human Resources of changes in name, address, telephone number, tax exemptions, etc. and to keep information current in the personnel record at all times.

18.35 Employee Arrests and Convictions

18.35.1 Purpose

The policy enables a secure educational environment at CSU.

18.35.2 Scope

This policy applies to all CSU employees.

18.35.3 Policy

Any current employee who is charged with a crime (other than a minor traffic offense) shall report being charged with such crime to the Department of Human Resources within 72-hours of the employee becoming aware of such charge. Failure to report being charged with such a crime may result in appropriate disciplinary action, including termination of employment. The Department of Human Resources shall review the nature of the crime and make a determination on what, if any action should be taken regarding the employee's employment status until resolution of the charge.

Any current employee who is convicted of a crime (other than a minor traffic offense) shall report such conviction to the Department of Human Resources within 24-hours of the conviction. Failure to report such conviction may result in appropriate disciplinary action, including termination of employment. Human Resources shall review the nature of the charge and make a determination on what, if any, action should be taken regarding the employee's employment status. Human Resources shall review the crime utilizing the same standards as it applies in reviewing crimes committed by a candidate for employment but may consider other factors, including the employee's length of employment and performance reviews.

18.36 Inclement Weather Policy

18.36.1 Purpose

This policy informs CSU employees about attendance expectations when there is inclement weather.

18.36.2 Scope

This policy applies to all CSU employees.

18.36.3 Policy

Unless notified by your supervisor, each classified employee shall report to work regardless of class cancellations. In the event the University is closed, announcements will be made via radio (which includes AM Station WSB 750), the internet on website <http://www.clayton.edu/> and television. Information on campus closing may also be obtained by telephoning the University's information number at (678) 466-4000. Employees shall contact their supervisor about any inclement weather concerns that might impact their ability to get to work safely.

18.37 Use of University Property

18.37.1 Purpose

This policy establishes CSU's expectation to the handling of CSU property used by employees in connection with the performance of their jobs.

18.37.2 Scope

This policy applies to all University employees.

18.37.3 Policy

Employees of Clayton State University shall not purchase goods or services for personal use through University channels. Nor shall any employee permit any University property to be removed from the campus for private use.

The use of all State of Georgia telephone services, including University issued cellular communication devices should be limited to official University business only. No personal long distance calls shall be made. Personal calls (incoming and outgoing) on employee owned cellular telephones and the use of all personal communication electronic devices shall be kept to a minimum during working hours. Clayton State University employees are expected to represent the University in a professional and courteous manner when communicating. This includes prompt response to incoming calls and messages.

University equipment including computer hardware and software are valuable assets. They shall be used for official University business only. Every effort is made to secure the privacy of each authorized user although messages or files stored

or transmitted on the computer or system network should not be considered to be private or secure. Under the Georgia Open Records Act, it is possible that information which is stored on a computer system, including electronic mail, would be available for inspection. Further, the University reserves the right to have access to any information stored or transmitted on a University owned computer or network.

Under no circumstance shall software be copied or installed on a Clayton State University computer if such copying or installation would violate any copyright or licensing agreement. All system users are expected to follow the guidelines expressed. Any employee in violation may be subject to disciplinary action, up to and including termination, as well as possible legal action.

The University mailroom handles incoming and outgoing correspondence of the institution and should not be used for personal mail delivery, in lieu of a home address. Any personal mail sent through the University facilities shall have appropriate postage attached. Personal packages are not to be routinely routed through Central Receiving either for delivery or mailing. For information regarding mail (bulk/certified/courier/insured), delivery and other mailroom procedures visit the website <http://www.clayton.edu/facilities/plantops/mailroom> .

18.38 Solicitation Policy

18.38.1 Purpose

The purpose of the University Solicitation Policy is to ensure compliance with Board of Regents policy regarding campus business activities (solicitation, sales, and advertising) and to exercise the required business controls and supervision over such activities on the campuses of Clayton State University. Clayton State University has made a commitment to control and prohibit where appropriate advertising, sales, and solicitation which is not specifically authorized by the University and/or the Board of Regents.

18.38.2 Scope

This policy shall apply to all campus personnel, faculty, staff, recognized student organizations (RSOs), all affiliated organizations, including but not limited to Alumni and the Clayton State Foundation, vendors, and non-profit or charitable organizations, and individuals. The policy applies to all campus facilities, including all buildings, land and open spaces and air above that space, streets, walkways, and parking facilities.

18.38.3 Policy

Definitions

(a) Solicitation is defined as the act of requesting money or funds for any reason, seeking agreement to pay, taking subscriptions, selling merchandise or services, or offering materials or privileges to others via promotion or advertisement.

(b) Commercial Solicitation is defined as any solicitation, most likely from or involving an outside vendor, for the purpose of securing revenue or profit for the benefit of an individual or commercial entity.

(c) Non-commercial Solicitation is defined as any solicitation for the purpose of securing a monetary gain for the benefit of a recognized student organization (RSO), other campus organization, department, employee, or a non-profit/charitable organization, and includes sales and requests for any types of donations by anyone.

Per Board of Regents policy, the chief business officer of the institution has the responsibility to control, manage, and supervise all business activity on his/her respective campuses. Board policy states: "Institutions of the University System shall not permit the operation of privately operated business enterprises on their campuses, except as otherwise provided by contract. All business enterprises operated on a campus or institution of the University System shall be operated as auxiliary enterprises and shall be under the direct management, control and supervision of the chief business officer of the institution."

In accordance with this policy, the Vice President for Business and Operations at Clayton State University shall be responsible for authorizing, in compliance with Regents policy, any business activity on campus. The Vice President for Business and Operations or his/her delegee will have ultimate responsibility for approval of any advertising, sales, and/or solicitation activity, and shall make provisions to enforce the policies adopted by the University through available means.

Commercial Solicitation

Commercial Solicitation

The Board of Regents of the University System of Georgia has established policies, which are for the benefit of the member institutions. Auxiliary Services, under the auspices of the Office of the Vice President for Business and Operations, shall be the only body empowered to conduct business activity on the campuses of Clayton State University.

Business activity shall include any undertaking of an individual or group which encompasses the production, sale, distribution, by sale or gifts, of products or services. The sale and distribution of products and services includes any method of marketing by way of direct selling or indirect selling, including the use of posters, flyers, handouts, or other promotional literature. Such activities shall be subject to the provisions of this policy.

Solicitation campaigns in residence halls, classrooms, or administrative buildings by private individuals, faculty, staff, students, or non-resident students are prohibited. Door-to-door sales in all University facilities, including residence halls, are also prohibited.

Auxiliary Services shall be the only body empowered to conduct or approve sales activity on the campuses of Clayton State University. Sales or solicitation in direct competition with the auxiliary operations of the university are prohibited.

Further information on CSU's non-university information table policy can be found at:

<http://www.clayton.edu/portals/45/docs/Vendor-Information-Table-Request.pdf>.

Sale of Course Materials and Other Merchandise – Right of First Refusal

Books, including course materials, study aids, trade books, books for special events, and general interest books; course equipment; school and art supplies; Clayton State logo items; and other competing items may not be brought into a University facility for sale by any individual, campus office, or group without the first right of refusal given to the Loch Shop, the University's official retailer. Adherence to this policy will also assist in monitoring compliance with sales tax and unrelated business income tax requirements. More detailed information can be found at <http://www.clayton.edu/auxiliaries/thelochshop>.

Non-commercial Solicitation

Distribution of non-commercial written material such as pamphlets, handbills, circulars, newspapers, magazines and other materials which are protected by the First Amendment may be distributed or sold on a person-to-person basis in assigned areas on campus by registering with the Department of Campus Life. Further information on CSU's non-university information table policy can be found at:

<http://www.clayton.edu/portals/45/docs/Vendor-Information-Table-Request.pdf>.

“Drop (bulk) delivery” or unattended distribution is not permitted. Distribution shall be made from an assigned location and sales people are not allowed to walk around campus distributing written materials.

Non-commercial solicitation by RSOs or non-profit/charitable organizations may take place in approved campus areas with prior approval from Campus Life. In order to receive approval, non-commercial solicitation activities must be occasional, non-continuous, and specific in purpose.

The student organization fundraising policy can be found at: https://www.clayton.edu/Portals/535/docs/SFAB/Fundraising_Policy.pdf.

CSU’s external fundraising policy and procedures can be found at: <http://www.clayton.edu/university-advancement>.

Any solicitation by academic and administrative units must obtain approval from the Vice President for Business and Operations or his/her delegee. This includes crowdfunding which must also be reviewed by the Vice President for University Advancement per the [CSU Crowdfunding Guidelines](#).

Any other type of individual solicitation, including crowdfunding, must be reviewed by the Vice President for Business and Operations and the Vice President for University Advancement.

Clayton State University participates in the annual CSU Faculty/Staff Foundation Fund Drive, as well as, the State of Georgia Charitable Contributions Program. Participation by employees is on a voluntary basis.

Solicitation by Clayton State Employees

Solicitation by CSU employees is prohibited during work hours. Prohibited activities include actual sales, order taking, as well as the distribution of catalogs and literature. Advertising of a private enterprise on campus is permitted only in approved campus publications, newspapers, magazines, or by direct U.S. Mail or telephone. Posters, circulars, windshield “flyers”, etc. are prohibited unless specifically approved by Campus Life. This policy can be found in the employee handbook:

<http://www.clayton.edu/human-resources/employeehandbook>

For the complete policy and procedures to request approval of a solicitation event, please visit:

<http://www.clayton.edu/vpbusinessoperations>.

18.39 Vehicle Regulations

18.39.1 Purpose

The purpose of this policy is to enable the University to regulate employee vehicles on campus.

18.39.2 Scope

This policy applies to all CSU employees.

18.39.3 Policy

Employees who park a vehicle on campus shall obtain a parking permit from the Department of Public Safety. Employees are entitled to one (1) free parking permit but additional permits are available for purchase. All permits issued, unless otherwise indicated, shall be valid for the academic year, Fall Semester through Summer Semester. An employee shall display the parking permit by placing the parking permit in the rear window of the vehicle on the lower left driver's side windshield where it is clearly visible from the exterior of the vehicle. Each individual who operates a motor vehicle on the campus of Clayton State University shall know, understand and comply with all parking regulations. For complete details see website <http://www.clayton.edu/public-safety/parkingservices/parkingrules>.

18.40 State Employment other than CSU

18.40.1 Purpose

During the 1983 session of the General Assembly, a comprehensive conflicts of interest law was enacted which pertains to all employees of Clayton State University. This policy ensures that CSU is compliant with it.

18.40.2 Scope

This policy applies to all CSU employees.

18.40.3 Policy

As required by this law, if a CSU employee or his/her immediate family member is or will be doing business with other state agencies (over and above his/her regular CSU job) the employee may need to seek approval and the employee/family member must file a disclosure report before January 31 of each year. Generally, state employees are limited in working for other state agencies even on a part-time basis. Detailed information and the State Business Transaction Disclosure Reports can be located on website http://www.usg.edu/legal/documents/bus_transact.pdf and in State laws O.C.G.A. § 45-10-22, 23 and 45.

18.41 Garnishments

18.41.1 Purpose

This policy ensures that CSU maintains compliance with garnishment laws.

18.41.2 Scope

This policy applies to all CSU employees.

18.41.3 Policy

Clayton State University considers the acceptance and settlement of just and honest debts to be a mark of personal responsibility. Failure to meet personal financial obligations may cause discredit to the University. The University is required by law to accept and process garnishments served by court officials. Continuing instances of default in payment of debts resulting in repeated garnishment of wages shall be sufficient grounds for an employee's termination.

18.42 Withholding of Pay

18.42.1 Purpose

This policy enables CSU to collect from its employees financial obligations owed to the University.

18.42.2 Scope

This policy applies to all CSU employees.

18.42.3 Policy

Clayton State University may withhold paychecks or deduct from paychecks amounts owed by employees of the University for any fine, fee, penalty or other financial obligation(s) to the institution of employment.

18.43 Outside Activities

18.43.1 Purpose

This policy provides guidance to employees with regard to activities outside of their CSU employment.

18.43.2 Scope

This policy applies to all University employees.

18.43.3 Policy

18.43.3.1 Occupational

A. An employee of the University System shall not engage in any occupation, pursuit or endeavor which will interfere with the regular and punctual discharge of official duties.

B. Professional employees are encouraged to participate in professional activity that does not interfere with the regular and punctual discharge of official duties, provided the activity meets one of the following criteria: (1) is a means of personal professional development; (2) serves the community, state or nation; or (3) is consistent with the objectives of the institution.

C. For all activities, except single-occasion activities, the employee shall report in writing through official channels the proposed arrangements and secure the approval of the President or designate, prior to engaging in the activities. Such activities include consulting, teaching, speaking and participating in business or service enterprises.

18.43.3.2 Political

As responsible and interested citizens in a democratic society employees of the University System are encouraged to fulfill their civic obligations and otherwise engage in the normal political processes of society. Nevertheless, it is inappropriate for System personnel to manage or enter political campaigns while on duty to perform services for the System or to hold elective political office at the state or

federal level, while employed by the University System. Therefore, the following policies governing political activities have been adopted.

A. Employees may not manage or take an active part in a political campaign which interferes with the performance of duties or services for which he/she receives compensation from the System.

B. Employees may not hold elective political office at the state or federal level.

C. A candidate for or holder of an elective political office at the state or federal level may not be employed or hold a faculty, staff or other position at an institution of the System, with or without compensation.

D. Employees seeking elective political office at the state or federal level must first request a leave of absence without pay, beginning prior to qualification as a candidate in a primary or general election and ending after the general or final election. If elected to state or federal office such person must resign prior to assuming office.

E. Employees may seek and hold elective office at other than the state or federal level, or appointive office, when such candidacy for or holding of the office does not conflict or interfere with the employee's duties and responsibilities to the institution or the University System.

18.44 Cooperation in Internal Investigations

18.44.1 Purpose

This policy advises employees on how to act in connection with an internal investigation.

18.44.2 Scope

This policy applies to all CSU employees.

18.44.3 Policy

An employee of Clayton State University shall cooperate to the fullest extent possible in any internal investigation when directed to do so by the immediate superior or such other persons who have been given investigative authority by the President of the University. Such cooperation may involve the use of polygraph

tests. Failure to cooperate fully shall be grounds for adverse personnel action, including possible termination of employment.

18.45 Travel Policy

18.45.1 Purpose

This policy provides guidance for employees who travel on official CSU business.

18.45.2 Scope

This applies to all CSU employees.

18.45.3 Policy

Travel by employees on official University business is covered by the University's regulations relating to reimbursement for reasonable and necessary expenses. Employees required to make official University trips shall complete a Clayton State University Request to Travel Form and have the form approved by the appropriate personnel before reimbursement of travel will be allowed.

For instructions on creating a Travel Expense Report visit website <http://www.clayton.edu/accounting-services/expenses/travel/howdoi/createatravelexpensereport>. For additional information regarding travel visit website <http://www.clayton.edu/accounting-services/expenses/travel>.

18.46 Relatives in Employment

18.46.1 Purpose

This policy is designed to prevent nepotism at the University.

18.46.2 Scope

This policy applies to all CSU employees.

18.46.3 Policy

The basic criteria for the appointment and promotion of staff personnel shall be appropriate qualifications and performance as set forth in the policies of the University and the Board of Regents. Relationship by family or marriage shall constitute neither an advantage nor a disadvantage provided the individual meets and fulfills the appropriate University appointment and promotion standards.

No individual shall be employed in a department or unit under the supervision of a relative who has or may have a direct effect on the individual's progress, performance, or welfare.

For the purpose of this policy, relatives are defined as husbands and wives, parents and children, brothers, sisters, and any in-laws of any of the foregoing.

18.47 Children in the Workplace

18.47.1 Purpose

This policy is designed to eliminate disruptions to the daily operations of the University and for the safety of children.

18.47.2 Scope

This policy applies to all CSU employees.

18.47.3 Policy

Due, in part, to the liability factor involved, extended and regular visits by employee's children in the workplace shall not be allowed.

18.48 Student and Staff Interactions

18.48.1 Purpose

It is the intent of Clayton State University to provide a safe and secure environment for the teaching, learning, operation and management of the institution for its students, employees and visitors by establishing preventative measures and requiring accountability for disruptive actions. Maintaining civility and mutual respect are intrinsic to such an environment.

18.48.2 Scope

This policy applies to the University community.

18.48.3 Policy

All members of the University community should interact in a professional and respectful manner, avoiding behavior which might reasonably be perceived as harassing or intimidating. Employees should observe federal and state laws and the statutes and rules of the University System.

All members of the University community shall conduct themselves in a courteous manner and maintain ethical conduct. CSU staff involved in teaching and working with students that exhibit disruptive, violent or threatening behavior should report such behavior to the appropriate University official and if necessary take such further action as outlined in the Policy on Student and Staff Interactions.

Clear communication of behavior expectations for students and employees; early consultation and communication with students, key administrators, mental health professionals and/or University Police and Student Affairs; and written documentation of disruptive behavior are key elements in effective prevention and early intervention of disruptive and violent behavior. For further information visit website <http://www.clayton.edu/human-resources/employeehandbook>, and click on Clayton State Student and Staff Interaction Policy.

18.49 Disruptive Behavior and Workplace Violence

18.49.1 Purpose

The purpose of this policy is to ensure and maintain a safe educational environment at the University.

18.49.2 Scope

This policy applies to the University community.

18.49.3 Policy

Individuals exhibiting disruptive behavior may be immediately and involuntarily dismissed from the University, removed from an office, a specific lecture or an entire course, and summarily physically removed from campus property. Failure to follow such directions communicated by a University official, and/or public safety officer may subject the individual to additional disciplinary action or criminal prosecution. In cases of IMMEDIATE THREAT to yourself or others, immediately call the CSU Department of Public Safety at (678) 466-4050.

Students, faculty, and employees who believe threats or acts of violence have been made against them or others shall report the details of the incident(s) to the CSU Department of Public Safety at (678) 466-4050, their supervisor and/or Department of Human Resources or other authorized University officer as soon as possible. If a student or employee threatens harm to self or others, this information should not be kept confidential. It should be shared with Counseling Services and/or University Police. Additional information can be located on website <http://www.clayton.edu/human-resources/employeehandbook>.

Under this policy, decisions may be needed to prevent a threat from being carried out, a violent act from occurring or a life-threatening situation from developing. No existing University policy or procedure shall be interpreted in a manner that prevents such emergency decision-making from occurring.

18.50 Environmental and Occupational Safety Policy

18.50.1 Purpose

Clayton State University is committed to achieving excellence in providing a safe working and learning environment, and supporting environmentally sound practices in the conduct of institutional activities.

18.50.2 Scope

All members of the CSU community.

18.50.3 Policy

CSU shall, at a minimum, comply with applicable environmental and occupational safety laws and regulations, and shall designate the Vice President of Business and Operations to oversee compliance. In the absence of specific laws or regulations, CSU will follow industry standards and good management practices. CSU shall maintain policies and procedures to govern activities to meet the goal of comprehensively integrating occupational safety and environmental considerations, and will periodically review and update such policies and procedures. The Vice President of Business and Operations, in consultation with the institution's Environmental Compliance Advisory Committee, is responsible for developing standards, guidelines, and processes to promote, support, and access the implementation of environmental and occupational safety management programs and initiatives. CSU has created the Environmental Management System in order to implement this policy.

18.51 Salary Increase Administration Policy

18.51.1 Purpose

This policy ensures consistency in compensation practices among institutions of the USG while affording the appropriate level of flexibility needed at the institutional level.

18.51.2 Scope

This policy applies to all CSU employees.

18.51.3 Policy

Salary and wage adjustments will generally be awarded to employees upon promotion to a higher level position, upon reclassification to a higher level position,

when an equity or administrative adjustment is deemed necessary, and on annual basis provided performance warrants the adjustment. The annual increase will be in the form of a merit increase and developed in conjunction with the budget development process. Equity adjustments may also be developed in conjunction with the budget development process. All adjustments are contingent upon available funding.

Each year, the USG Office of Fiscal Affairs will issue a salary administration statement that provides guidelines for awarding salary increases for that fiscal year. Merit increases are normally authorized at the beginning of a fiscal year and are subject to salary limitations and guidelines established each fiscal year. Annual salary increases are merit-based, reflecting each employee's performance as evaluated by his/her supervisor. Merit increases will generally be distributed on a percentage basis around the average percentage increase as provided for by state appropriations. Merit salary increases that exceed the range established by the salary administration statement must be documented on an individual basis.

Additionally, and subject to Board policy, CSU may make salary increases for promotions and reclassifications or to address issues of salary inequities, subject to the availability of funds.

When an employee is promoted or reclassified to a position in a higher classification, the employee will normally be awarded a promotional/reclassification increase. Determinations of the actual increase should consider relevant factors such as internal pay relationships and the individual's qualifications and experience for the position. Promotional and reclassification increases are subject to availability of funding.

In order to correct an administrative oversight, and subject to funding availability, the Director of Human Resources or his/her designee may approve a corrective adjustment to an employee's rate of pay.

Pay rates depend upon many factors, such as knowledge, training, special skills and the responsibilities of the job. Constant effort is made to maintain a fair wage or salary range for each job and a fair relationship between the job levels. Wage and salary adjustments are made on the basis of performance and the availability of funds.

18.52 Leave

18.52.1 Purpose.

The purpose of this policy is to promulgate the standards regarding how CSU employees may earn and use paid time off

18.52.2 Scope

This policy applies to all CSU employees.

18.52.3 Policy

18.52.3.1 *Vacation/Annual Leave*

A regular employee (as defined in the BOR's Human Resources Administrative Practice Manual) who works one-half time or more shall earn paid vacation/annual leave. A full-time regular employee shall be entitled to vacation/annual leave earned at the rate of:

One and one-fourth working days per month (10 hours) for each of the first five years of continuous employment;

One and one-half working days per month (12 hours) for each of the next five years of continuous employment; and,

One and three-fourths working days per month (14 hours) for each year after the completion of ten years of continuous employment.

The accrual rate of vacation/annual leave for an hourly employee will be based upon his/her standard work commitment. The use of approved vacation/annual leave shall be recorded on institutional leave records.

A regular employee who works one-half time or more but less than full-time shall accrue vacation/annual leave prorated on the basis of full-time employment. An employee who is employed less than one-half time shall not be eligible to accrue vacation/annual leave.

A temporary employee, as defined in the BOR Human Resources Administrative Practice Manual, is not eligible to accrue vacation/annual leave.

A full-time faculty member employed on a 12-month or fiscal year basis shall be entitled to vacation/annual leave earned at the rate of one and three-fourths working days (14 hours) per month. All working days during the fiscal year shall be counted. Absences during academic calendar breaks shall be recorded as vacation. All vacation days shall be recorded on institutional leave records.

A full-time administrative officer employed on a 12-month or fiscal year basis shall be entitled to vacation/annual leave earned at the rate of one and three-fourths working days (14 hours) per month. The use of approved vacation/annual leave shall be recorded on institutional leave records.

The accrual rate of vacation/annual leave for a faculty member or for an administrative officer will be based upon his/her contractual work commitment.

A faculty member who changes from a fiscal year contract to an academic year contract shall be paid his/her unused, accrued vacation/annual leave subject to the

45-day (360-hour) maximum payment restriction upon termination of the fiscal year contract.

A faculty member employed on an academic year (9- to 10-month) basis does not earn vacation/annual leave. An academic year contracted faculty member who teaches during Maymester and/or summer semester will not be eligible to accrue vacation/annual leave for such service.

Vacation/annual leave shall be accrued based on the initial employment date of an employee. A new hire must be employed on or before the fifteenth of a month to qualify for accrual of vacation/annual leave for that month.

Vacation/annual leave shall be taken at times mutually acceptable to the employee and his/her supervisor; provided, however, that a University System institution may, on not more than five days, require the use of vacation/annual leave during periods in which all or substantially all of the institution's facilities are closed because classes are not offered.

On December 31 of each calendar year, each employee's leave record shall be adjusted to reflect no more than 45 days (360 hours) of accrued vacation/annual leave.

All unused, accrued vacation/annual leave, not to exceed 45 days (360 hours), shall be paid to an employee upon his/her termination from employment. An employee who terminates on or after the fifteenth of a month shall accrue vacation/annual leave for that month.

Upon a move between USG institutions with no break in service, an employee must transfer all accrued vacation/annual leave up to 20 days (160 hours). For employees with accrued vacation/annual leave of greater than 20 days (160 hours), an employee may elect one of the following options:

Transfer of the total accrued vacation balance, not to exceed 45 days (360 hours); or,

Payment by the institution from which the employee is moving of accrued vacation leave in excess of 20 days (160 hours). The total accrued vacation leave for which the employee may be paid shall not exceed 25 days (200 hours).

18.52.3.2 Sick Leave with Pay

For all regular full-time USG employees as defined in Section 8.1 of the Policy Manual, sick leave shall be accumulated at the rate of one working day per calendar month of service.

Regular part-time employees working one-half time or more will accumulate sick leave in an equivalent ratio to their percentage of time employed. Sick leave for employees shall be cumulative.

Sick leave may be granted at the discretion of the institution and upon approval by the supervisor for an employee's absence for any of the following reasons:

Illness or injury of the employee

Medical and dental treatment or consultation
Quarantine due to a contagious illness in the employee's household
Illness, injury, or death in the employee's immediate family requiring the employee's presence

If sick leave is claimed for a continuous period in excess of one week, a physician's statement is required to permit further claim of sick leave rights by the employee-patient.

A terminating employee shall not accumulate sick leave or be entitled to receive sick pay after the last working day of his/her or her employment.

Upon the movement of an employee among USG institutions, accumulated sick leave will be transferred if there is no actual break in service.

Any employee unable to return to work after exhausting all accumulated sick leave and accrued vacation leave may be granted sick leave without pay for a period not to exceed one (1) year. Furthermore, such approved sick leave shall allow the employee the right to elect to continue his or her group insurance benefits, and the institution will continue its share of the cost for such period. All other benefits are prohibited which otherwise would accrue to the employee.

18.52.3.3 *Educational and Professional Leave*

Leaves of absence of one year or less with or without pay may be granted by CSU's President and reported to the Chancellor. Extensions of such leaves, or the initial granting of leaves of more than one year, require the approval of the Chancellor or his/her designee.

In considering a request for leave with pay, the President should bear in mind that it is the policy of the Board that such leave shall be granted only for the purposes of promoting scholarly work and encouraging professional development. The President should examine carefully the program or project on which the employee proposes to work, and he/she should also consider the likelihood of the employee's being able to accomplish the purposes for which leave is requested. It is expected that scholarly and professional leaves shall be granted without pay where the leave is supported by an external grant or stipend.

In considering a request for a leave, the President should take into consideration the effect that the granting of the leave will have on the institution or on the department of which the employee is a member. If the employee's work cannot be handled by other employees and if funds are not available for the employment of a substitute, the president will be justified in refusing to recommend that the leave be granted or in deferring action upon the request for a leave.

The President ordinarily should not approve a request for a leave with pay if the applicant for leave has been employed at an institution for the period of fewer than

three (3) years. The USG chief academic officer will promulgate guidelines regarding educational and professional leave.

Any employee who has been granted a leave of absence with pay shall be required, before beginning the leave, to sign an agreement indicating that:

For a leave with pay of less than one year, the employee will return to the institution at the termination of the leave for a period of at least one (1) year; For a one-year leave with pay, the employee will return to the institution at the termination of the leave for a period of at least two (2) years; and that, If the employee does not return to the institution for the full amount of time specified in the agreement, the employee will reimburse the institution for the amount of compensation received while on leave, as well as any other expenses paid by the USG during the leave, including all benefit costs.

A faculty or staff member who returns from an authorized leave which enhances professional study and development shall be entitled to a salary which will include, as a minimum, the mandated across-the-board salary raises which occurred during the period of leave.

No leaves of absence will be granted to USG retirees and who are drawing retirement benefits from the Teachers' Retirement System of Georgia or from the USG. Approved leave shall allow employees the right to elect to continue group insurance benefits with institutional participation.

18.52.3.4 Military Leave with Pay

For the purpose of this policy, ordered military duty shall mean any military duty performed in the service of the State or the United States, including, but not limited to, service schools conducted by the armed forces of the United States. Such duty shall be deemed "ordered military duty" regardless of whether the orders are issued with the consent of the employee.

An employee who receives orders for active military duty shall be entitled to absent himself or herself from his or her duties and shall be deemed to have a leave of absence with pay for the period of such ordered military duty, and while going to and returning from such duty, not to exceed a total of eighteen (18) workdays in any one federal fiscal year (October 1 - September 30) as authorized by Georgia Law O.C.G.A. § 38-2-279[e]. At the expiration of the maximum paid leave time, continued absence by the employee shall be considered as military leave without pay. The employee shall be required to submit a copy of his or her orders to active military duty.

Notwithstanding the foregoing leave limitation of eighteen (18) days, in the event the Governor declares an emergency and orders an employee to State active duty as a member of the National Guard, such employee while performing such duty shall be paid his or her salary or other compensation as an employee for a period not exceeding 30 days in any one federal fiscal year.

After an employee has exhausted his/her paid military leave, CSU, in its sole discretion, may pay the employee for his/her accumulated annual leave.

18.52.3.5 Family and Medical Leave

In accordance with the federal Family and Medical Leave Act (FMLA) of 1993, to be eligible for FMLA leave, the employee must have worked for the USG:

For at least twelve (12) months total; and,

For at least 1,250 hours during the 12-month period immediately preceding the commencement of such leave.

The FMLA entitles an employee to up to twelve (12) work weeks of leave for one of the following conditions:

Birth and care of a newborn child of the employee;

Legal placement of a child with the employee for adoption or foster care;

Care of an immediate family member (defined as the employee's spouse, child, or parent) with a serious health condition; or,

A serious health condition of the employee himself/herself, which renders the employee unable to perform the duties of his/her job.

Section 585 of the National Defense Authorization Act (NDAA) amends FMLA to permit certain relatives of military personnel to take up to twenty-six (26) work weeks of leave to care for a member of the Armed Forces in various situations. NDAA also permits an employee to take FMLA leave for a qualifying exigency arising out of the fact that an immediate family member, as defined by the FMLA, is on active duty in support of a contingency operation.

18.52.3.6 Miscellaneous Leave

Fair Labor Standards Act (FLSA)

When an exempt employee is absent from work for less than one (1) scheduled workday and his/her accumulated leave is insufficient to cover the partial day of absence, the employer will:

Deduct the cost for such leave in hourly increments from an exempt employee's salary; or,

Place the exempt employee on leave without pay, if so requested by the exempt employee.

Such action by the employer will not disqualify the exempt status of the employee's position.

Court Duty

Court duty leave with pay shall be granted to regular employees for the purpose of serving on a jury or as a witness. Such leave shall be granted upon presentation of official orders from the appropriate court.

Voting

USG employees are encouraged to exercise their constitutional right to vote in all federal, state, and local elections. If election polls are not open at least two (2) hours before or two (2) hours after an employee's normally scheduled work shift, sufficient leave time must be granted to permit the employee to vote. In this instance, an institution should grant the employee a two-hour block of time in which to vote, if needed.

Military Physical Examination

Any regular employee required by federal law to take a military physical examination shall be paid for any time lost to take such an examination.

Personal Leave

At the discretion of the President, personal leave of absence without pay for periods not to exceed one (1) year may be approved. Such approved personal leave shall allow the employee the right to elect to continue group insurance benefits.

Leave for Organ and Marrow Donation

Any employee who serves as an organ donor for the purpose of transplantation shall receive a leave of absence, with pay, of thirty (30) days. Each employee who serves as a bone marrow donor for the purpose of transplantation shall receive a leave of absence, with pay of seven (7) days.

Leave taken under this provision shall not be charged against or deducted from an employee's accrued annual or sick leave. Such leave shall be included as service in computing any retirement or pension benefits. This provision shall apply only to an employee who actually donates an organ or marrow and who presents to the appropriate supervisor a statement from a licensed medical practitioner or hospital administrator that the employee is making an organ or marrow donation.

Other Leave

In the event of inclement weather or any emergency that requires leaves of absence of employees, the President may declare leave with or without pay.

18.52.3.7 Acceptance of Leave from a State of Georgia Agency by the USG

The USG shall accept up to a maximum of ninety-six (96) hours of sick leave from a benefited employee who moves from a State of Georgia agency to the USG. For a USG unit to accept sick leave, the employee must have no more than a 30-calendar-day break in service. Written verification of the employee's sick leave balance must be provided to the USG by the terminating State of Georgia agency. Annual leave will not be accepted for a benefited employee who moves from a State of Georgia agency to the USG.

18.53 Recruitment and Selection [Reserved]**18.54 Professional Development and Training. [Reserved]****19.0 Business and Operations**

All Clayton State University policies are subject to the Bylaws and Policies of the Board of Regents of the University System of Georgia. If there is any conflict between the University's policies and those of the Board of Regents, the policies of the Board of Regents shall prevail.

19.1 Contracts and Agreements Policy

The Office of the Vice President of Business & Operations shall be responsible for advising appropriate University officials on matters relating to federal and state

laws, as well as University rules, regulations, policies and procedures pertaining to the fiscal management of contracts, grants, or other agreements with individuals, companies or agencies external to the university.

19.1.2 Policy

A contract is any document that creates an obligation, right, or liability for Clayton State University. All contracts entered into in the name of The Board of Regents of the University System of Georgia, by and on behalf of Clayton State University are subject to the Policies and Procedures of the State Board of Regents.

In addition, many of the University's contracts are subject to State purchasing regulations and to the statutory constraints on contracts entered into by State agencies. State law further provides that persons entering into contracts without complying with all applicable State laws and regulations become personally liable for any amounts due under those contracts.

No member of the University, faculty, or staff shall sign a contract without specific authorization from the President. In addition, the Office of the Vice President of Business & Operations is responsible for approving and signing all contracts, agreements, and memorandums of understanding for over \$2,500.00.

In the Office of the Vice President of Business & Operations, a contract reviewer may be designated to assist with the review and administration of institutional contracts.

19.1.2.1 General Guidelines

These guidelines are designed to ensure that applicable contracts, agreements, and memorandums of understandings are entered into a standard fashion and reviewed for legal compliance. Applicable contracts, agreements, and memorandums of understanding shall be accompanied by a completed Clayton State University Contract/Agreement/MOU Review Process and Routing form located at www.clayton.edu/contract-administration.

As of July 1, 2013, Senate Bill 160 amends O.C.G.A. 13-10-91 (b) (1) that requires any contract with a state agency for labor or services in excess of \$2,499.99 must submit a signed and notarized affidavit(s) on standard forms attesting to their compliance with the terms of the federal work authorization program (also known as E-Verify), or state a specific exemption from this requirement.

Unless exempt by law, policy, procedure or practice, the contract sponsor shall forward to this Office the following types of contracts, agreements and memorandums of understanding for review:

-
- Appearances and Special Events
 - Applied Learning Experiences
 - Auxiliary Services Agreements
 - Benefit Agreements
 - Business Associate Agreements
 - Confidentiality Agreements
 - Grants
 - Hardware/Software/End User Licenses
 - Intellectual Property Agreements
 - Internships
 - IT Subscription Agreements
 - Licensing Agreements
 - Location Agreements
 - Maintenance/Service Agreements
 - Property Rental/Leasing Agreements
 - Professional Services
 - Service Agreements

The above list of contracts, agreements and MOU's does not include the name of every type of contract that may require review.

The proposed contract along with the review process and routing form and applicable affidavits should be sent to the Office of the Vice President for Business and Operations. The contract reviewer will provide feedback directly to the university's contracting party within 5 business days. All changes to the proposed contract must be approved by the contract reviewer before the contract may be executed. Specific instructions are provided on the review process and routing form for contract execution.

Contracts that may be exempt from this Office's review if executed on pre-approved standard CSU forms without any additions or changes are:

- Agency Agreements
- Alcohol Beverage Service Agreement
- Catering Agreements
- Continuing Education
- Construction/Renovation
- Faculty Contracts
- Joint Staffing Agreements
- Professional Service Agreements
- Property/Leasing/Rentals Agreements
- Service Agreements
- Spivey Agreements

19.2 Risk Management Policy

Definitions used in this policy are: *RISK*

Risk refers to the probability of an event and potential consequences to an organization possible to eliminate entirely risk from activity. Some level of risk is not only expected in normal everyday activities but can be beneficial. It is, however, possible mitigate risk.

A risk is defined as *MAJOR* when the combination of an event's probability and the potential consequences is likely to:

1. Impair the achievement of a University System of Georgia (USG) strategic goal or objective;
2. Impair the achievement of a CSU strategic goal or objective;
3. Result in substantial financial costs either in excess of CSU's ability to pay or in an amount that may jeopardize CSU's core mission;
4. Create significant damage to CSU's or USG's reputation; or
5. Require intervention in CSU's or USG's operations by the Board of Regents and/or an external body.

Major Risks are a subset of the larger category of Significant Risks referenced in this Enterprise Risk Management Policy. The *Significant Risks* category includes Major Risks but also include less critical risks. At CSU, two examples of Significant Risks are the:

- a) failure to develop realistic budgets that are aligned with the University's strategic objectives which may lead to overspending and/or spending resources on secondary objectives rather than the institution's key objectives and priorities; and
- b) failure to develop, maintain and implement Business Continuity plans which may contribute to the inability of the University to continue operations during and immediately following the occurrence of critical events.

19.2.1 Purpose

The purpose of the Enterprise Risk Management Policy is to strengthen the proper management of risk through proactive risk identification, risk management and risk acceptance pertaining to all activities within the University System Office and USG Institutions, including CSU.

This policy is intended to:

1. Ensure that Major Risks are reported to the Board and the Chancellor for review and acceptance;
2. Result in the management of those risks that may significantly affect the pursuit of the stated strategic goals and objectives;
3. Embed a culture of evaluating and identifying risks at multiple levels within the USG and USG institutions;
4. Provide a consistent risk management framework in which the risks concerning USG and CSU business processes and functions are identified, considered, and addressed in key approval, review and control processes;
5. Ensure that CSU communicates Significant Risks to the USG level so risk can be measured across the University System;
6. Inform and improve decision-making throughout CSU and the University System;
7. Meet legal and regulatory requirements;
8. Assist in safeguarding USG and CSU assets to include people, finance, property and reputation; and
9. Ensure that existing and emerging risks are identified and managed within acceptable risk tolerances.

19.2.2 Scope

CSU's Enterprise Risk Management Officer shall assist campus administrators in maintaining this policy and CSU's risk management framework and procedures. CSU shall review the risk management framework and procedures annually and shall conduct periodic reviews for compliance with system guidelines.

19.2.3 Policy

The BOR has adopted an enterprise risk management framework (ERM) to manage risk. ERM is defined as a process-driven tool that enables management to visualize, assess, and manage significant risks that may adversely impact the attainment of key organization objectives. It is the responsibility of CSU and its leaders to identify, assess, and manage risks using the ERM process. Further information regarding the BOR's adopted framework may be found at www.usg.edu/audit/risk, and the BOR's Enterprise Risk Management Policy may be found at www.usg.edu/policymanual/section7. Information on CSU's ERM processes may be found on the SWAN under the Work Life tab and <http://www.clayton.edu/vpbusinessoperations>.

Categories of risk managed through the ERM framework include:

1. Strategic Risks – risks which affect the ability to carry out goals and objectives as articulated in the USG and CSU strategic plans;
2. Compliance risks – risks which affect compliance with laws and regulations, student, faculty and staff safety, environmental issues, litigation, conflicts of interest, etc.
3. Reputational Risks – risks which affect, for example, USG’s and CSU’s reputation, public perception, political issues;
4. Financial Risks – risks which affect the ability to acquire assets, technology, facilities, etc.
5. Operational Risks – risk which affect on-going management processes and procedures.

An identified risk may fall into multiple categories.

The following are not acceptable risks:

1. Willful exposure of students, employees or others to unsafe environments or activities;
2. Intentional violation of federal, state or local laws;
3. Willful violation of contractual obligations; or
4. Unethical behavior.

Risk management decisions should be made after conducting a cost-benefit analysis; such analysis should take into account the potential costs associated with the identified risk should the risk event take place as compared to the costs associated with mitigating the risk. It should be noted that these costs are not only financial but may also include substantial damage to reputation, opportunity costs, potential litigation, and distraction from CSU’s core mission, obsolescence and others.

Major risks that could result in significant long-term damage to the USG or CSU must be identified to CSU, the BOR and the Chancellor as soon as possible. Acceptance of Major Risks is at the discretion of the Board and the Chancellor. Significant Risks, which should be identified in a timely manner, shall be managed by CSU’s president or his/her designee.

All risk management efforts shall focus on supporting CSU’s objectives. Minimally, these efforts shall consist of:

1. Formal and ongoing identification of risk that impact CSU’s goals;
2. Development of risk management plans;
3. Monitoring the progress of managing risks;
4. Periodic updates of risk management plans;

5. Reporting of risks so that Significant Risks can be rolled up to the System level.

Risks may be managed by using one of more of the following methods:

1. Avoid (eliminate, withdraw from or do not become involved in an activity creating risk);
2. Retain (accept the risk and plan for the expected impact);
3. Transfer/Share (move the risk to another party by hedging against undesired outcome or reduce the risk through processes such as insurance); and
4. Reduce (control the risk through additional or optimized controls).

19.3 Records Management Policy

19.3.1 Purpose

This policy promotes and ensures the proper retention and disposal of records to satisfy the legal, fiscal and administrative needs of the University and to assist the staff and faculty with record management issues.

19.3.2 Scope

This policy applies to CSU faculty and staff.

19.3.3 Policy

CSU faculty and staff shall maintain and preserve University records in accordance with the Retention Schedule of the Board of Regents, available at www.usg.edu/usgweb/busserv. Employees shall contact the Records Management Office at (678) 446 4251 or by email (dirkmorrell@clayton.edu) when wishing to deposit, retrieve or destroy records. The University's record management procedures are located at

www.clayton.edu/facilities/services/records.

19.4 Sustainability Policy

19.4.1 Purpose

Clayton State is committed to being an environmentally conscious community by participating in various recycling programs and other sustainability initiatives.

19.4.2 Scope

These recycling programs and sustainability initiatives apply to the University community at large.

19.4.3 Policy

Clayton State has partnered with its waste provider to establish a Single Stream Recycling (SSR) program with the plan to gradually expand the program campus-wide to all buildings. This program allows participants to place all their recyclable into a single container at their desk for collection without the responsibility of sorting the materials. Each participant is responsible for the disposal of their non-recyclable waste into a designated, centralized waste bin.

This program is designed to promote responsible resource management, reduce waste collection costs, and give everyone on the campus an opportunity to help protect the environment.

Other campus sustainability programs include:

- Automatic sensors and energy meters in each building
- Participating in Rebuilding America program
- Utilizing Green Fleets
- Recycle irrigation water
- Installation of Water Bottle Filling Stations
- Trayless dining
- Used Book drives

19.5 Refund Policies

19.5.1 Purpose

These policies address how customer returns and refunds shall be handled.

19.5.2 Scope

These apply to the University community at large.

19.5.3 Policy

Refund policies vary based on department. Full refund policies are available on each department's webpage, provided below.

19.5.3.1 Vending

<https://www.clayton.edu/aux-services/vending>

19.5.3.2 Smart Print

<https://www.clayton.edu/aux-services/smart-print/help#collapse1>

19.5.3.3 Loch Shop

<https://lochshop.bncollege.com/shop/clayton/page/returns-refunds>

19.5.3.4 Meal Plans

<https://www.clayton.edu/aux-services/docs/clayton-state-meal-plan-refund-and-expiration-policies-3-18-2021.pdf>

19.5.3.5 LakerBucks

<https://www.clayton.edu/aux-services/laker-card/101#collapse6>

19.6 Service of Alcohol on Campus

19.6.1 Purpose

The purpose of this policy is to provide guidance with regard to the service of alcohol on the CSU campus.

19.6.2 Scope

This policy applies to the University community.

19.6.3 Policy

The possession, consumption or furnishing of alcoholic beverages on the Clayton State University campus is prohibited except for (i) events sponsored by external organizations or (ii) pre-approved events sponsored by the University in the Harry S. Downs Center for Continuing Education, Spivey Hall Recital Hall, and the Student Activities Center.

Only the Center for Continuing Education, Spivey Recital Hall, and the Student Activities Center are authorized to permit clientele to schedule events where alcoholic beverages will be served. Prior written approval must be obtained from (i) the Vice President of Business & Operations, (ii) the President of Clayton State University and (iii) one of the following, as applicable: the Executive Director of Continuing Education and/or Director of Spivey Hall, and/or the Director of the Student Activities Center. The client and CSU shall enter into a written agreement in the form of the one posted at https://drive.google.com/file/d/1VT1nikJIyPA_ToPV3nlpLB5cq1agwBml/view.

Any event serving alcohol which has more than 100 adults in attendance shall have a Clayton State University Public Safety officer present at the event at all times. The University reserves the right to have a Public Safety officer available at smaller events. The client shall bear the cost of this service.

Alcoholic beverages supplied by the client shall only be served in the Center for Continuing Education, Spivey Recital Hall or the Student Activities Center when the following criteria are met:

1. Only wine and/or beer may be served.
2. All wine and beer must be furnished by the client. Beer must be furnished in bottles or cans.
3. A named representative of the sponsoring external organization or person is present during the entire event.
4. No sale or form of exchange for wine or beer is permitted.
5. Self-service is not permitted. All alcoholic beverages must be served by Aladdin, Clayton State University's dining services provider. CSU will coordinate with Aladdin to provide a licensed bartender for the event at the expense of the client.
6. Printed materials, including invitations to functions, may not include reference to alcoholic beverages.
7. Proof of legal age must be requested of guests consuming alcoholic beverages.

8. Continuous service of alcoholic beverages to a single user group may not exceed a period of one hour except when served with a meal. Service and consumption of alcoholic beverages is restricted to the specified location.
9. Alternate, non-alcoholic beverages must be available and apparent.
10. The licensed bartender has the obligation to refuse service to anyone who is visibly or otherwise apparently intoxicated.
11. Alcoholic beverages may not be served to on-duty employees of Clayton State University.
12. The facility must be properly opened prior to the event and secured immediately following the event by a designated CSU Public Safety employee.

19.7 Georgia Open Records Act (O.C.G.A. 50-18-70 through 50-18-77)

19.7.1 Purpose

“The purpose of the Open Records Act is both to encourage public access to information and to foster confidence in government through openness to the public.” Georgia law clearly provides that, except as otherwise specifically provided, “all public records ... shall be open for a personal inspection by any citizen of this state at a reasonable time and place; and those in charge of such records shall not refuse this privilege to any citizen.”

19.7.2 Policy

If an individual or department receives an Open Records request, it is their responsibility to make sure that a response is provided in compliance with the Act. “An agency must produce the record or records responsive to a request within **three (3) business days.**”

19.7.3 General Guidelines

Forward immediately all Open Records requests to Dr. Melody Carter, Special Assistant to the President, at: melodycarter@clayton.edu. During her absence, forward the request to the Director of Auxiliary Services, at: normangrizzell@clayton.edu.

For additional information regarding legal compliance please visit: http://law.ga.gov/00/channel_modifieddate/0,2096,87670814_87996542,00.html.

19.8 Property Risk Management

19.8.1 Purpose

The Georgia Department of Administrative Services (DOAS) provides insurance to Clayton State University (CSU) and the University System of Georgia Board of Regents through a self-insured program. The types of insurance coverage are: Building and Content, All Risk, Auto Physical Damage, General Liability, and Fidelity Bond. Excess insurance is purchased by DOAS to insure against catastrophic losses and to protect the assets of the State of Georgia.

Risk Management policies and procedures are established guidelines to assist those who may have questions concerning risk, liability, insurance coverage, or the processing of claims. Final approval of all claims rest with the State DOAS. In addition, all suits and legal actions become the responsibility of the Board of Regents and the Department of Law.

19.8.2 All Risk Policy

The All Risk policy insures property items not covered by the State Owned Building and Content Property Agreement. The following coverage's are available: Money & Securities, Fine Art, Hull, Non-State Owned Property, and Transient State Property.

Clayton State is billed an annual premium for All Risk Coverage. Transient Equipment and Non-Owned State Property are insured at 15 cents per \$100 market value. Fine Art is 25 cents per \$100 appraisal value. Money and securities are \$75 per \$5,000 coverage limit. The deductible is \$1,000 per occurrence unless otherwise stated. The \$1,000 deductible will be reduced to \$500 for Georgia agencies participating in the DOAS CLCP.

19.8.3 Building and Contents Policy

The State Owned Building and Content coverage provides for direct physical loss or damage to state owned property. Covered causes of loss include: fire, lightening (a Lightning Affidavit must be completed by a licensed electrician), windstorm, hail, smoke, vandalism, sprinkler leakage, flood, and water damage. Clayton State is billed an annual premium for Building and Content coverage. The premium is .10 cents per \$100 replacement value.

Reimbursement for a loss is based on the cost to repair or replace the building and/or contents with property of like kind and quality. All covered cause of loss is subject to a \$1,500 deductible per occurrence. Laptop computers are subject to a \$1,500 deductible per unit where the cause of loss is burglary. A burglary claim must be supported on the police report as forcible entry.

Note: Buildings that are not state-owned and under a lease agreement cannot be insured. Only the contents housed in the leased building can be insured.

19.8.4 Money, Securities and Fidelity Bonds Policy

The Fidelity Bond coverage protects the State's assets from losses due to the dishonest acts of its employees or the failure of the employees to faithfully perform their job duties.

19.8.5 Vehicle Insurance and Liability Policy

The Auto Physical Damaged coverage provides collision and comprehensive coverage for vehicles owned by Clayton State and leased vehicles if the lease is in excess of 30 days and there is no intent to purchase the leased vehicle. A leased vehicle must be in the name of Clayton State University. The deductible is \$500. Clayton State is charged an annual premium of \$1.00 per \$100 of market value for each vehicle.

The Automobile Liability coverage protects the employees of the State, Clayton State University, and the University System of Georgia Board of Regents against personal liability for damages arising out of the operation of state owned, personally owned, leased or short term rental vehicles, while acting within the course and scope of their official duties of employment. The self-insured auto liability program is included under the State Tort Claims Policy and General Liability.

Volunteers (whether or not receiving compensation) have liability coverage under the General Liability, State Tort Claims Act, and Auto Liability policy while participating in a structured volunteer program organized, controlled, and directed by the University for the purpose of carrying out the functions of Clayton State.

19.8.6 State Tort and General Liability Policy

The State Tort Claims policy protects the State, Clayton State and the USG Board of Regents against liability for torts (wrongful acts) committed by their employees while acting within the course and scope of their official duties of employment. The limits of liability are statutorily set at \$1,000,000 per person and \$3,000,000 per occurrence.

General liability is provided for Clayton State through the General Liability Agreement. The policy provides coverage for those employees of the State, Clayton State and the USG Board of Regents against personal liability for damages arising out of the performance of their job duties. The limits of liability are \$500,000 per occurrence.

For additional information concerning coverage, policy exclusions, liabilities, claims procedures and definitions visit: <http://www.clayton.edu/operation-services/insuranceclaimsprocedures>, and www.doas.ga.gov

19.9 Comprehensive Loss Control Program

19.9.1 Purpose

The Comprehensive Loss Control Program (CLCP) is the implementation vehicle developed by DOAS to comply with Senate Bill 425. The primary purpose of this program is to develop a risk management culture in all state entities to support operational changes to promote safety awareness and to eliminate hazards or minimize their impact towards reducing claims.

19.9.2 Policy

The CLCP consists of eight programs customized for each state entity's operational risks:

1. Employee Education and Training- policy for the broadcast of training material to all covered individuals and the verification of compliance.
2. Employee Accident Prevention Plan- plan to identify and control of hazards and exposures
3. Fidelity Losses (Employee theft)- policy to maintain property inventories and discipline of accused employees
4. General Liability-policies to eliminate or reduce the effect of Employment Practice claims
5. Workers' Compensation-Return to Work- policy to develop Georgia Activity Analyses for all positions to identify activities recovering employees can perform when returning to work
6. Property-policy to maintain systems and resources to ensure routine maintenance is performed to correct facility deficiencies and to track corrective actions
7. Auto Liability and Physical Damage- policy for Motor Vehicle Use, Drivers Qualification, and participate in Report My Driving program
8. Fleet Management-required to join Automotive Resources Incorporated (ARI) to monitor vehicle preventive and routine maintenance

For additional information concerning detail information regarding the eight components, program goals and implementation summary visit: <http://www.clayton.edu/clcp>.

19.10 MALFEASANCE NON-RETALIATION WHISTLEBLOWER PROTECTION HOTLINE MANAGEMENT

19.10.1 Purpose

Clayton State University ("CSU" or "the University") is committed to providing a workplace conducive to open discussion of the University's business practices and

operations. This mission demands integrity, good judgment and dedication to public service from all members of the University community. University employees have an affirmative duty to report wrongdoing in a timely manner and to refrain from retaliating against those who report violations or assist with authorized investigations.

The purpose of this policy is to reassure University employees that they can raise workplace concerns regarding alleged violations of Board of Regents (“BOR”) and University policy or local, State or Federal law without retaliation.

This policy is consistent with O.C.G.A. 45-1-4 (2010) entitled “Complaints or information from public employees as to fraud, waste, and abuse in state programs and operations.” In addition, this policy is in conformance with BOR policy 16.4 Reporting Wrongdoing and 16.5, Ethics & Compliance Hotlines. The University incorporates the aforementioned policies into this policy and has adopted these processes and procedures.

Also, the University is committed to preventing and detecting fraud, waste, abuse, and other forms of wrongdoing and taking action when wrongdoing occurs. It is the policy of the University to refer all criminal acts to law enforcement for investigation.

19.10.2 Scope of Application

This policy prohibits University officials, officers, employees, or contractors from retaliating against applicants, officials, employees, or contractors because of any of the protected activities as defined below.

19.10.3 Policy

University employees are expected and encouraged to promptly raise questions and concerns regarding possible violations of BOR and University policy or local, state or federal law with his/her immediate supervisor or another management employee within the employee’s department.

Promptly raising questions and concerns allows the opportunity for such concerns to be addressed quickly and can help prevent problems from occurring or escalating and allows the matter to be promptly investigated or reviewed while evidence and memories are fresh. In the event that an employee is not comfortable with raising an issue with his/her immediate supervisor or another management employee in the employee’s department, or if the employee believes that an important issue remains unresolved, employees can contact the University Department of Human Resources’ Office of Institutional Equity (“OIE”).

Complaints and concerns are accepted in person and by telephone, email, and regular mail and can be submitted anonymously through the Global Compliance Ethics Hotline at <http://www.clayton.edu/human-resources/Ethics-Hotline>.

For more information, please contact OIE at 678-466-4230 or email OIE's Assistant Director, Nikia Yallah at NikiaYallah@clayton.edu or visit the HR website. In addition, the "Ethics Compliance Brochure" may be located at <http://www.clayton.edu/portals/24/docs/Ethics-Compliance-Brochure.pdf>.

It is the policy of the BOR and the University to prohibit the taking of any adverse employment action against those who in good faith report or participate in investigations into complaints of alleged violations of BOR and University policy or local, state or federal law in retaliation for that reporting or participation. (Refer to definitions of "protected activity" and "adverse employment action" below.)

No employee of the University shall directly or indirectly use or attempt to use the authority or influence of such employee for the purpose of intimidating, threatening, coercing, directing or influencing any person with the intent of interfering with that person's duty to disclose alleged violations of BOR and University policy or local, state or federal law.

To the extent lawful, the University shall not after receipt of a complaint or information from an employee disclose the identity of the employee without the written consent of such employee, unless the University determines such disclosure is necessary and unavoidable during the course of the investigation. In such event, the employee shall be notified in writing at least seven days prior to such disclosure.

Disciplinary action, up to and including termination, will be taken against an employee who is found to have violated this Policy. Employees will be subject to appropriate sanctions. However, employees who file reports or provide evidence which they know to be false or without a reasonable belief in the truth and accuracy of such information will not be protected by this policy and may be subject to disciplinary action, including termination.

19.10.4 Definitions

1. "Government agency" means any agency of federal, state, or local government charged with the enforcement of laws, rules, or regulations.
2. "Law, rule, or regulation" includes any federal, state, or local statute or ordinance or any rule or regulation adopted according to any federal, state, or local statute or ordinance.
3. "Public employee" means any person who is employed by the executive, judicial, or legislative branch of the state or by any other department, board, bureau, commission, authority, or other agency of the state. This term also includes all employees, officials, and administrators of any agency or any local

or regional governmental entity that receives any funds from the State of Georgia or any state agency.

4. "Public employer" means the executive, judicial, or legislative branch of the state; any other department, board, bureau, commission, authority, or other agency of the state which employs or appoints a public employee or public employees; or any local or regional governmental entity that receives any funds from the State of Georgia or any state agency.
5. "Retaliate" or "retaliation" refers to the discharge, suspension, or demotion by a public employer of a public employee or any other adverse employment action taken by a public employer against a public employee in the terms or conditions of employment for disclosing a violation of or noncompliance with a law, rule, or regulation to either a supervisor or government official or agency.
6. "Supervisor" means any individual:
 - a. To whom a public employer has given authority to direct and control the work performance of the affected public employee;
 - b. To whom a public employer has given authority to take corrective action regarding a violation of or noncompliance with a law, rule, or regulation of which the public employee complains; or
 - c. Who has been designated by a public employer to receive complaints regarding a violation of or noncompliance with a law, rule, or regulation?
7. "Wrongdoing" is defined under this policy as violations of BOR and CSU policies, state or federal law, violations of ethical and professional conduct and fraud, waste or abuse. Examples of wrongdoing include, but are not limited to: BOR and CSU Code of Conduct violations, discrimination, harassment, research misconduct, academic misconduct and privacy violations.
8. "Waste" means the expenditure or allocation of resources in excess of need that is often extravagant or careless.
9. "Abuse" means the intentional, wrongful, or improper use of resources. Abuse may be a form of wastefulness, as it entails the exploitation of "loopholes" to the limits of the law, primarily for personal advantage.
10. "Fraud" means a false representation of a matter of fact that is intended to deceive another. A fraudulent act may be illegal, unethical, improper, or dishonest and may include, but is not necessarily limited to:
 - a. Embezzlement
 - b. Misappropriation
 - c. Alteration or falsification of documents

- d. False claims
- e. Asset theft
- f. Inappropriate use of computer systems, including hacking and software piracy
- g. Bribery or kickbacks
- h. Conflict of interest
- i. Intentional misrepresentation of facts

19.10.5 Where to Report

Employees should report wrongdoing or concerns through the administrative processes and procedures established by the BOR and the University. Unless otherwise indicated or circumstances make it inappropriate, employees should report wrongdoing through their supervisory chain of command. Other reporting avenues, are available including the University's Internal Audit Department, the University's Department of Human Resources' Office of Equity, etc.

Events presenting an immediate threat to life or property or that are obvious criminal acts should be reported to law enforcement. Wrongdoing and concerns also can be reported anonymously on the Ethics and Compliance Reporting Hotline, which is also available 24 hours a day, 7 days a week at: http://www.usg.edu/audit/compliance/reporting_contacts

19.10.6 Protection Against Retaliation – Whistleblower Protection

Protections Afforded: University employees may not interfere with the right of another employee to report concerns or wrongdoing, and may not retaliate against an employee who has reported concerns or wrongdoing, has cooperated with an authorized investigation, has participated in a grievance or appeal procedure, or otherwise objected to actions that are reasonably believed to be unlawful, unethical or a violation of BOR and University policy. Violations of this policy may result in disciplinary action, which may include the termination of employment.

Conduct Prohibited: Retaliation is any action or behavior that is designed to punish an individual for reporting concerns or wrongdoing, cooperating with an investigation, participating in a grievance or appeal procedure or otherwise objecting to conduct that is unlawful, unethical or violates BOR and University policy. Retaliation includes, but is not limited to, dismissal from employment, demotion, suspension, loss of salary or

benefits, transfer or reassignment, denial of leave, loss of benefits, denial of promotion that otherwise would have been received, and non-renewal.

False Reports / False Information: This policy does not protect an employee who files a false report or who provides information without a reasonable belief in the truth or accuracy of the information. Any employee who knowingly files a false report or intentionally provides false information during an investigation may be subject to disciplinary action, which may include the termination of employment.

19.10.6 Confidentiality

All employees involved in the process of receiving and investigating reports of wrongdoing must exercise due diligence and reasonable care to maintain the integrity and confidentiality of the information received. All University employees must ensure they comply with state and federal laws regarding whistleblower protection.

19.10.7 Complaint Procedures

An applicant, employee, officer, official, or contractor who believes he or she has been retaliated against in violation of this Policy should immediately report the conduct to the Office of Equity in the University's Department of Human Resources.

19.10.8 Investigation of Malfeasance

Malfeasance is any conduct or act carried out by a public official that cannot be legally justified or conflicts with the law including, but not limited to, fraud, waste, and abuse. The BOR's Office of Internal Audit and Compliance has the primary obligation for investigating reported malfeasance involving the University System Office, institutional senior administrators, and institutions without an institutional internal auditor. Institutional internal audit departments have the primary obligation for malfeasance investigations at institutions.

Malfeasance Reporting:

Incidents involving suspected criminal malfeasance by an employee must be reported to the University Audit Officer once an initial determination has been made that employee malfeasance may have occurred. Malfeasance reports should be marked confidential and submitted in draft form. Malfeasance reports should include:

1. Institution's name and point of contact , including the email address and phone number;

2. Description of the incident, including the incident time, date, location, improper activity, and estimated loss to the institution (if any);
3. Known suspect information, including the employee name, title, employment status (administrative leave, pending termination, etc.), and supervisor's name; and,
4. Current case status, including law enforcement involvement and the results of any internal audit investigation.

The University Audit Officer will consult senior management, as specified, will do so with the BOR's Office of Audit and Legal Affairs, The University Audit Officer may contact others to establish the necessary team to proceed with the review or investigation. The investigative team will attempt to keep source information as confidential as possible.

19.10.9 CSU Triage Committee

All cases are presented to the University Triage Committee for review and initial Assessment. The University Triage Committee determines the University Case Manager and potential University Investigator.

A. Role of the University Triage Committee

The University Triage Committee consists of key University administrators. A core of at least 3 individuals serve with other administrators—Provost, Athletics Director, Vice Presidents brought in on specialized matters.

The Triage University Committee generally convenes either in person or via phone within two to five business days of the receipt of a report.

The University Triage Committee reviews the complaint and determines initial steps regarding the assignment of the matter to a Case Manager or Investigator (such individuals may be internal or external.)

B. Role of Case Manager:

1. Acknowledges that the complaint has been received.
2. Evaluates the information received to determine whether (a) to proceed with a formal workplace investigation or (b) whether an attempt at informal resolution could be appropriate under the guidance of the University Triage Committee.

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3. If not a member of the University Triage Committee--notify the Vice President for Business Operations and/or Legal Affairs for the University that a complaint has been received.
 4. As appropriate, contact the appropriate unit official of the nature of the complaint.
 5. If a formal investigation is required contact investigators.
 6. Take ownership of every case and monitor progress.
 7. Support the Investigator(s) by providing advice and guidance on policies and procedures. Consult with Legal as needed.
 8. Provide higher management with information on cases progressing within their area of control.
 9. Update the website case management file periodically and at least twice per month.
 10. Meet regularly with Investigator(s) as to the status and progress of the investigation.
 11. Direct as necessary additional work needed to be completed or additional follow up in the investigation. Review the report and provide a copy to Legal for review.
 12. Discuss resolution including sanctions with appropriate officials.
 13. Conduct post investigation review and debriefing and close case on hotline.
 14. Inform the University Triage Committee and any administrations of the outcome.

A. Investigator(s)

1. Assigned Investigator(s) will meet with the University's Chief Human Resources Officer or other University Authority(ies) to discuss and develop a "Case Management Plan" or strategy. The investigator will be responsible for the proper handling of the case by conducting interviews, documenting all relevant information in the case file, and ensuring that timely communication is maintained with all appropriate parties. The investigation will consist of all necessary procedures and actions to provide sufficient facts to reach accurate conclusions based on the investigator's best judgment. In instances of multiple infractions or complex matters, more than one investigator may be used for cross-functionality. Instances of retaliation, discrimination, and sexual harassment may require additional investigative procedures applicable to policies, laws and regulations.

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- a) Log into Ethics site and outline initial action plan and tentative timeline or provide data to the Case Manager.
 - b) Gather background information on the Complainant, the Respondent (the person(s) who the allegations are made against), others as necessary; e.g. review personnel files, other data sources, etc. Consult with Triage Committee or other administrators if permission is needed to access materials.
 - c) Determine order of interviews:

Normally: *Complainant -> Accused -> Witnesses*

2. Launch investigation.
3. Provide updates to the University Case Manager and Ethics hotline site.
4. Contact the Complainant for interview. If anonymous contact other individuals named in allegation.
 - a) Ask Complainant if he/she would prepare a statement specific to their complaint if they have not already done so (See (i) below).
 - i. The Complaint: At a minimum, ask the Complainant:
 1. What happened?
 2. What was your role?
 3. How did you become aware of the event?
5. Prepare for the Interview e.g. determine location, prepare questions, prepare script, decide on whether to record or not record, etc.
6. Interview Complainant and obtain a signed Complainant Statement.
 - a) Prepare summary of interview.
7. Consider all relevant circumstances and decide whether Precautionary Action is necessary and, if so, what form such action should take. Consult with Case Manager, Legal and HR.
8. Gather all evidence and documentation.
9. As soon as reasonably practicable after interviewing Complainant, contact Respondent and provide sufficient details so that the Respondent can answer questions, and meet with Respondent(s) for interview.

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10. Prepare for the Interview.
 11. Interview Respondent(s).
 - a) Prepare summary of interview.
 12. Contact potential witness(s) to arrange interviews.
 13. Prepare for the Interview(s).
 14. Interview Potential witnesses.
 - a) Prepare summary of interview(s).
 15. Carefully consider the need to re-interview the Complainant, Respondent, and/or Witnesses to clear up any ambiguities or to discuss any new evidence upon which a decision is being made.
 - a) Prepare summary of re-interview(s).
 16. To the extent possible, ensure that both Complainant and other relevant parties are kept updated on the status as necessary throughout the investigation.
 17. Meet with the Case Manager and/or other University Authorities to discuss facts of the case.
 18. Findings or Decisions are rendered based on the facts of the investigations and completed Investigative Report.
 19. The Findings and Recommendations must be reviewed.
 20. Work with the University Case Manager to submit investigation report into hotline.
 21. At the conclusion of the investigation the investigator will issue a report which will be reviewed by the appropriate officials to determine final appropriate course of action. The case will be closed through the Global Compliance site, and the status will be communicated to the Complainant.
 22. The University will implement corrective action, as appropriate.

19.10.10 General Requirements

1. All individuals involved in an investigation or complaint will not retaliate against any individual or group that reported the allegations.

2. All individuals involved in an investigation or complaint will comply with all Whistleblower protection requirements.
3. All individuals involved in an investigation or complaint will exercise reasonable care to maintain the integrity and confidentiality of information.
4. All individuals involved in an investigation or complaint will investigate matters fairly and objectively.

19.10.11 Tracking and Analyzing Reports

Bi-annually the University Triage Committee will meet to analyze and identify trends or problem areas.

Approved: Cabinet

Effective: November 1, 2014 (presented 10/28/14)

20.0 Public Safety

All Clayton State University policies are subject to the Bylaws and Policies of the Board of Regents of the University System of Georgia. If there is any conflict between the University's policies and those of the Board of Regents, the policies of the Board of Regents shall prevail.

The Department of Public Safety is the first responder for campus incidents and emergencies.

20.1 Drug and Alcohol Policy

20.1.1 Purpose

It is the policy of the University that illicit drug use, including their manufacture, sale, distribution, dispensation, possession, or use is prohibited in the workplace, on the campus, or as part of any University activities. Sanctions imposed for violation of this policy are indicated below.

20.1.2 Scope

This policy applies to the University community.

Implementation of this policy is a joint responsibility of the Department of Human Resources, the Counseling and Psychological Services, the Department of Public Safety, the Office of the Provost, and the Division of Student Affairs. Notification of the program, including information about health risks and sanctions for violation of the policy, shall be provided annually to students and employees. In addition, the University is committed to monitoring and assessing the effectiveness of this program. A biennial review of the program shall be undertaken to (i) determine its effectiveness and implement changes to the program if they are needed and (ii) ensure that its disciplinary standards are consistently enforced.

20.1.3 Policy

There are millions of employed individuals whose job performance and productivity are adversely affected by their progressive dependence on drugs or alcohol. As many as 20% of all college students indicate they use chemical substances and drugs at a level of concern to themselves and others. Some estimate that 70% of the working population and 90% of college students consume mood-altering chemicals of some type and the cost to the United States economy is estimated to be more than 26 billion dollars per year.

20.1.3.1 Definitions.

The following terms are defined for the purposes of this policy and are important for purposes of expressing the University's policy on a drug free workplace:

A. *Controlled Substance* means a controlled substance in schedules I through V of section 202 of the Controlled Substances Act (21 U.S.C. 812), as further defined by regulations at 21 CFR 1300.11 through 1300.15, and as defined in the Official Code of Georgia Annotated (O.C.G.A.), Sections 16-13-35 to 16-13-39.

B. *Contract* means a legal instrument reflecting a relationship between the federal government and a recipient whenever the principal purpose of the instrument is the acquisition by purchase, lease, or barter of property or services for the direct benefit or use of the federal government; or whenever an executive agency determines in a specific instance that the use of a type of procurement contract is appropriate.

C. *Conviction* means finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the federal or state criminal drug statutes;

D. *Criminal drug statute* means a federal or non-federal criminal statute involving the manufacture, sale, distribution, dispensation, use, or possession of any controlled substance;

E. *Employee* means an individual receiving a salary, wages, other compensation and/or stipend support from the University.

F. *Federal agency or agency* means any United States executive department, military department, government corporation, government controlled corporation, or any other establishment in the executive branch (including the Executive Office of the President), or any independent regulatory agency.

G. *Grant* means an award of financial assistance, including a cooperative agreement, in the form of money, or property in lieu of money, by a federal agency directly to a grantee. The term grant includes block grant and entitlement grant programs, whether or not exempted from coverage under the grants management government-wide regulation ("Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments"). The term does not include technical assistance which provides services instead of money, or other assistance in the form of loans, loan guarantees, interest subsidies, insurance, or direct appropriations; or any veteran's benefits to individuals, i.e., any benefit to veterans, their families, or survivors by virtue of the Service of a veteran in the Armed Forces of the United States.

H. *Grantee* means a legal entity which applies for or receives a grant or contract directly from a federal agency.

I. *Illicit drug use* means the use of illegal drugs and the abuse of other drugs and alcohol.

J. *Student* means an individual registered or enrolled for credit or non-credit in a course or program offered by the University or any of its units.

K. *University activity(ies)* mean an activity officially sponsored by Clayton State University.

L. *Workplace* means the physical boundaries of the University and facilities owned or controlled by the University.

20.1.3.2 Philosophy.

The unlawful use of drugs or abuse of other drugs and alcohol is inconsistent with the behavior expected of members of the University community. The University is

committed to the development and maintenance of a drug-free environment on the campus as well as an environment that prohibits the abuse of other drugs and alcohol and has a drug and alcohol abuse prevention system in operation, accessible to all members of the University community. The University is committed to the further expansion of that program and the dissemination of drug awareness information to the members of the University community. In addition, the University is committed to enforcing the provisions of the Drug Free Communities and Schools Act Amendments of 1989 (Public Law 101-226) and the Georgia Drug-Free Postsecondary Act of 1990.

20.1.3.3 Health Risks

Alcohol. Alcohol consumption causes a number of marked changes in behavior. Even low doses significantly impair the judgment and coordination required to drive a car safely. Low to moderate doses of alcohol also increase the incidence of a variety of aggressive acts. Moderate to high doses of alcohol cause marked impairment in higher mental functions, severely altering a person's ability to learn and remember information. Very high doses cause respiratory depression and death. If combined with other depressants of the central nervous system, much lower doses of alcohol can lead to dependence. Sudden cessation of regular alcohol use is likely to produce withdrawal symptoms, including severe anxiety, tremors, hallucinations, and convulsions. Alcohol withdrawal can be life threatening. Long-term consumption of large quantities of alcohol can also lead to permanent damage to vital organs such as the brain and the liver.

Females who drink alcohol during pregnancy may give birth to infants with fetal alcohol syndrome. These infants have irreversible physical abnormalities and mental retardation. In addition, research indicates that children of alcoholic parents are a greater risk than other youngsters of becoming alcoholics.

Alcohol use is often related to acquaintance rape and failure to protect oneself from sexually transmitted diseases (STDs). Additionally, alcohol-related accidents are the number one cause of death in the 16-24 year old age group.

Designer Drugs. Illegal drugs are defined in terms of their chemical formulas. To circumvent these legal restrictions, "underground" chemists modify the molecular structure of certain illegal drugs to produce analogs known as "designer drugs." These drugs can be several hundred times stronger than the drugs they are designed to imitate. Many of the so-called designer drugs are related to amphetamines.

Bootleg manufacture can increase or create overdose and contamination risks. These substances can produce severe neurochemical damage to the brain. The narcotic analogs (fentanyl, china white) can cause symptoms such as those seen in Parkinson's disease: uncontrollable tremors, drooling, impaired speech, paralysis,

and irreversible brain damage. Analogs of amphetamines and methamphetamines cause nausea, blurred vision, chills or sweating, and faintness. Psychological effects include anxiety, depression, and paranoia. As little as one dose can cause brain damage. The analogs of phencyclidine (PCP) cause illusions, hallucinations, and impaired perception.

Cocaine. Cocaine stimulates the central nervous system. Cocaine use can cause death by cardiac arrest or respiratory failure. Its immediate effects include dilated pupils and elevated blood pressure, heart rate, respiratory rate, and body temperature. Occasional use can cause a stuffy or runny nose, while chronic use can ulcerate the mucous membrane of the nose. Sharing contaminated needles and syringes for injecting cocaine can spread the AIDS virus, hepatitis, and other diseases. Cocaine can produce psychological and physical dependency, a feeling that the user cannot function without the drug. In addition, tolerance develops rapidly. "Crack," or "freebase rock," is extremely addictive, and its effects are felt within ten seconds. The physical effects include dilated pupils, increased pulse rate, elevated blood pressure, insomnia, loss of appetite, tactile hallucinations, paranoia, and seizures.

Other Stimulants. Stimulants can cause increased heart and respiratory rates, elevated blood pressure, dilated pupils, and decreased appetite. In addition, users may experience sweating, headaches, blurred vision, dizziness, sleeplessness, and anxiety. Extremely high doses can cause a rapid or irregular heartbeat, tremors, loss of coordination, and even physical collapse. An amphetamine injection creates a sudden increase in blood pressure that can result in stroke, very high fever or heart failure. In addition to the physical effects, users report feeling restless, anxious, and moody. Higher doses intensify the effects. Persons who use large amounts of amphetamines over a long period of time can develop an amphetamine psychosis that includes hallucinations, delusions and paranoia.

Marijuana (Cannabis). All forms of cannabis can result in negative physical and mental effects. Use of cannabis may impair or reduce short-term memory and comprehension, alter sense of time and reduce ability to perform tasks requiring concentration and coordination, such as driving a car. Research also shows that students do not retain knowledge when they are "high". Motivation and cognition may be altered, making the acquisition of new information difficult. Marijuana can also produce paranoia and psychosis. Because users often inhale the unfiltered smoke deeply and then hold it in their lungs as long as possible, marijuana is damaging to the lungs and pulmonary system: marijuana smoke contains more cancer-causing agents than tobacco smoke. Long-term users of cannabis may develop psychological dependence and require more of the drug to get the same effect.

Hallucinogens. Lysergic acid (LSD), mescaline, and psilocybin cause delusions and hallucinations. The physical effects may include dilated pupils, elevated body temperature, increased heart rate and blood pressure, loss of appetite, sleeplessness, and tremors. Sensations and feeling may change rapidly. It is common to have bad psychological reactions to LSD, mescaline, and psilocybin. The user may experience panic, confusion, suspicion, anxiety, and loss of control. Delayed effects, or "flashbacks," can occur even after use has ceased.

Users of PCP report persistent memory problems and speech difficulties. Some of these effects may last six months to a year following prolonged daily use. Mood disorders --depression, anxiety and violent behavior --also occur. In later stages of chronic use, users often exhibit paranoid and violent behavior. Large doses may produce convulsions and coma, as well as heart and lung failure.

Depressants. The effects of depressants are in many ways similar to the effects of alcohol (which is itself a depressant). Small amounts can produce calmness and relaxed muscles, but somewhat larger doses can cause slurred speech, staggering gait, and altered perception. Large doses can cause respiratory depression, coma and death. The combination of depressants and alcohol can multiply the effects of the drugs, thereby multiplying the risks. The use of depressants can cause both physical and psychological dependence. Regular use over time may result in an increased tolerance to the drug, leading the user to increase the quantity consumed. When regular users suddenly stop taking large doses, they may develop withdrawal symptoms ranging from restlessness, insomnia, and anxiety to convulsions and death.

20.1.3.4 Penalties for Violation of University Policy

The University policy prohibiting the unlawful possession, use, or distribution of illicit drugs and alcohol on the campus and at University-sponsored events held off campus is intended to protect and support the employees and students of Clayton State University. Therefore, any employee admitting to or convicted of the unlawful possession, use, or distribution of illicit drugs and/or alcohol on the campus or at University sponsored events held off campus shall be subject to disciplinary action (up to and including suspension, suspension without pay, and/or termination), may be referred for prosecution, and may be required to satisfactorily participate in a drug and alcohol assistance or rehabilitation program, as agreed upon between the employee and the Department of Human Resources. **Further information concerning employees is available from the Department of Human Resources (phone 678-466-4230).**

Any student admitting to or found to have violated Clayton State University's Student Disciplinary Policies and Procedures regarding the unlawful possession,

use or distribution of illicit drugs and/or alcohol on campus or at University sponsored events (see Clayton State University Student Code of Conduct) shall be subject to disciplinary action (up to and including probation, suspension, and expulsion), may be referred for prosecution, and may be requested to satisfactorily participate in a drug and alcohol assistance or rehabilitation program. **Further information concerning students is available from the Office of Community Standards (phone 678-466-5444).**

In addition, penalties under Georgia and federal law appear in the table below:

<u>OFFENSE</u>	<u>MINIMUM PUNISHMENT</u>	<u>MAXIMUM PUNISHMENTS</u>
“First Offender”: A person never before convicted of possession of a small amount of controlled substance. (O.C.G.A. 16-13-2(a))	At the discretion of the judge, a First Offender may be afforded first offender treatment, resulting in no record of any conviction, if the defendant successfully completes a court-monitored comprehensive rehabilitative program.	----- ---
Possession of one ounce or less of marijuana (O.C.G.A. 16-13-2 (b))	-----	Imprisonment not to exceed 12 months and/or a fine not to exceed \$1,000, or “public works” not to exceed 12 months.
Possession of more than one ounce of marijuana (O.C.G.A. 16-13-30j(2))	Confinement of not less than one year	Confinement of not more than 10 years
Trafficking in marijuana (O.C.G.A. 16-13-31 (h))	Depending on amount, minimum of five years confinement and fine of \$25,000.	Depending on amount, maximum of 30 years confinement and fine of \$1million.
Penalty for violation of the “controlled substances” provision. (Schedule II)	Depending on amount, minimum of five years confinement.	Depending on amount, maximum of 30 years confinement; confinement for life

		for a second conviction of trafficking narcotics.
Possession of an alcoholic beverage by any person under age 21 (O.C.G.A. 3-3-23.1)	-----	Confinement not to exceed 30 days, or a fine of not more than \$300, or both.
Manufacture, distribution, or dispensing drugs (includes marijuana)	A term of imprisonment not less than 5 years or more than 20 years, (with 4.5 years mandatory supervisory parole) and a minimum fine of \$250,000	A term of life imprisonment without release (no eligibility for parole) and a fine not to exceed \$4,000,000 for an individual and \$10,000,000 if other than an individual
Possession of drugs (including marijuana)	A term of imprisonment not less than 1 year and a fine of not less than \$1,000 or both.	Imprisonment for not less than 90 days or more than 3 years, a fine of not less than \$5,000 plus costs of investigation and prosecution.

20.1.3.5 Employee and Student Assistance Programs

Clayton State University’s Counseling and Psychological Services (CAPS) offers the following drug and alcohol abuse information, counseling, rehabilitation, and assistance programs and services:

1. Information and Referral: All members of the University community are eligible to consult with the professional staff of the CAPS regarding the availability of drug abuse assistance programs. Drug and alcohol abuse counseling and rehabilitation program referrals are routinely made to mutual help organizations, private hospitals, public treatment programs, and private drug treatment practitioners. It also maintains a collection of resource materials pertinent to issues of drug abuse. In addition, the CAPS provides education on alcohol/drug abuse and related concerns for the campus community.

2. Individual Counseling: Individuals are seen on a short-term basis for assistance with drug-related problems. However, it is likely that CAPS will make a referral

for alcohol and drug addiction. This service is available to students at no charge. Faculty and staff are able to receive short-term EAP evaluation and referral for such services.

3. Employee Assistance Program (EAP): Clayton State University provides access to counseling and psychological services to faculty and staff through referral to its Employee Assistance Program. The CAPS also provides information, referral, evaluation, consultation, and short-term problem solving.

4. Clayton Center Mental Health/Addictive Diseases/Developmental Disabilities: Offers counseling for anyone affected by alcohol or other drug abuse. Trained alcohol and drug abuse counselors can help select a 12-step program (AA, Alanon, NA, CA, etc.) and/or appropriate treatment. Their address is 853 Battlecreek Road, Jonesboro; Phone 770-478-1099.

Further information regarding these programs and services may be secured from Clayton State University's CAPS located in Room 245 of the Student Center; Phone 678-466-5406.

20.1.3.6 Application of Policy

The Drug and Alcohol Abuse Prevention Policy is supported by a drug-free awareness and alcohol education program available to the faculty, staff and students of the University. The Clayton State University Student Code of Conduct provides for disciplinary action against any student or student organization found guilty of committing, attempting to commit, or intentionally assisting in the commission of the misuse of alcohol or other drugs (See Student Code of Conduct, Section II, Paragraph J, Subparagraphs 1, 2 & 3). Specific compliance and reporting items enumerated below (items B, C, D, E) are applicable to all persons employed on federal contracts and grants.

In support of this policy, the University:

A. Has established a drug free and alcohol abuse awareness program to inform its faculty, staff, and students about the dangers of drug and alcohol abuse in the workplace, the University's policy of maintaining a drug free workplace and a workplace which prohibits the illicit use of alcohol, available drug and alcohol counseling, rehabilitation, and employee assistance programs, and the penalties that may be imposed upon employees for drug and alcohol abuse violations.

B. Shall provide each student and employee a copy of this policy. In addition, all faculty, staff, and students shall be notified of this policy through appropriate publications.

C. Shall notify each University employee and each student that, as a condition of employment on a federal grant or contract, the person, once so employed, must abide by the terms of the policy, and must notify his/her supervisor and the Department of Human Resources of any criminal drug statute conviction for a violation occurring in the workplace not later than 5 days after such conviction.

D. Shall notify the appropriate federal agency within 10 days after receiving notice of criminal drug statute conviction of any University employee engaged in performance of the grant or contract.

E. Shall impose sanctions on, or require the satisfactory participation in a drug abuse assistance or rehabilitation program, by any employee so convicted. Sanctions imposed on employees for violation of this policy may include suspension, suspension without pay, and termination.

F. Shall make a good faith effort to continue to maintain an environment that complies with the Drug Free Workplace Act 1988 and the Drug-free Schools and Communities Act Amendments of 1989.

G. Shall conduct a biennial review of its programs to assess their effectiveness, what changes need to be made, and to ensure the uniform application of sanctions to employees and students.

20.1.3.7 University Resources and Contact Information

The following offices/individuals may be contacted regarding questions about this policy or for assistance with drug and alcohol matters:

Counseling and Psychological Services

Student Center 245

(678) 466-5406

Dr. Christine Smith, Director

<http://adminservices.clayton.edu/counseling/>

Human Resources

Clayton State University—East Campus

(678) 466-4230

Vacant, Director

<http://admins-services.clayton.edu/ohr/>

University Health Services

Student Center 211

(678) 466-4230

Vacant, Director

<http://healthsci.clayton.edu/nmc/>

Public Safety/Campus Police

Student Center 207

(678) 466-4050

Chief Bobby Hamil, Director

<http://admins-services.clayton.edu/ps/>

Office of Community Standards

University Center 250

(678) 466-5444

Mr. Jeff Jacobs, Associate Dean of Housing, Residence Life, and Community Standards

<http://admins-services.clayton.edu/judicial/>

20.2 Vehicles on Campus

20.2.1 Purpose

The University is authorized by the Board of Regents to promulgate regulations related to traffic safety on the CSU campus. In case of any divergence in these regulations or conflict with the Bylaws or Policies of the Board of Regents, the official Bylaws and Policies of the Board of Regents shall prevail.

The purpose of this policy is to regulate the use of motor vehicles by all persons using such vehicles on the CSU campus.

20.2.2 Scope

This policy applies to all persons operating motor vehicles on campus.

20.2.3 Policy

All Georgia motor vehicle and traffic laws shall be in effect on the CSU campus. Clayton State University is authorized and reserves the right to regulate the use of all motor vehicles and related parking facilities on its campus. It is the responsibility of each individual operating a motor vehicle on the Clayton State University campus to know, understand and comply with all CSU traffic regulations.

Motor vehicle and traffic regulations shall be enforced under the authority of the Official Code of Georgia, Section 20-3-21. Current regulations shall be maintained by the Department of Public Safety Office and shall be available for review at <http://www.clayton.edu/public-safety/parkingservices/parkingrules>.

The Department may also issue parking tickets or utilize immobilization devices on vehicles when they are illegally parked, or the Department determines that either the registered driver or the vehicle has accumulated five (5) unpaid parking tickets. An administrative fee of \$50.00 shall be assessed in addition to the payment of existing fines prior to the removal of the immobilization device. The Department of Public Safety shall be contacted at (678) 466-4050 to arrange for the removal of an immobilization device. Removal of the immobilization device without the approval of the Department of Public Safety may result in criminal prosecution. Immobilized vehicles shall be removed from campus at the owners' expense within 24 hours of immobilization.

Depending on the parking violation, citations may be resolved with the University's Public Safety Department, Clayton County or the city of Morrow.

20.3 Golf Carts

20.3.1 Purpose and Scope

The purpose of this policy is to establish guidelines and responsibilities for the operation of university gasoline and battery powered golf carts on the campus of Clayton State University (CSU).

20.3.2. Operation

University golf cart use should be restricted to meaningful purposes and therefore kept to a minimum. Operation of Clayton State University golf carts will be restricted to authorized university personnel, including student assistants. It shall be the responsibility of each Department/Division head to ensure that all cart operators are provided instruction in the safe operation and maintenance of the cart prior to operation. All cart operators must have a valid driver's license. Prior to operating a golf cart, operators must clear a driving records check through the Department of Public Safety. Department/Division heads must ensure that operators can demonstrate the safe and proper operation of the golf cart prior to carrying passengers or others items for delivery, emphasizing that pedestrians always have the right of way.

Department/Division heads shall review this policy on cart operations with each designated driver on an annual basis and have a signed copy of this policy entered into each operator's personnel file. All new hires will be required to read this policy before they will be allowed to operate a golf cart. Department/Division heads will be responsible for ensuring the signed copies of the policy are entered into the operator's personnel file.

University carts will not to be used for hauling bulky or heavy items that will not completely fit inside of the cart. Large items such as desks, bookcases, and other large items should be moved using university trucks, vans or other heavy equipment vehicles. Items being hauled in university carts must be tied down and/or secured in a manner to avoid accidental release from the cart during a routine/emergency stop or turns.

Golf carts are at great risk in the event of a collision with another vehicle, therefore, operation of carts in parking lots should be minimized. To reduce potential safety

hazards involving pedestrian traffic, operators will reduce their speed in the presence of pedestrians. When operating on campus sidewalks, routes that have minimum pedestrian traffic should be selected.

University carts are prohibited from parking on the University Plaza adjacent to the University Center, with the exception of those assigned to the Department of Public Safety. Because of bulk and size of certain items, delivery carts may be required at times to use walkways on the interior portion of the campus. This occurrence should be rare.

To further reduce potential safety hazards involving pedestrian traffic, cart operators will limit any travel on campus sidewalks and grassy areas, opting to use campus roadways when possible. Due to limited sight visibility and pedestrian traffic exiting buildings, the sidewalks surrounding the Lecture Hall and Faculty Hall will not be traversed by carts, except for emergency maintenance and grounds crew functions being performed in the immediate area.

It is recommended that all newly acquired golf cars be equipped with either yellow flashing lights or regular headlights and rear lights. Golf carts operated on university roadways and streets will be required to turn on all lights and obey all traffic control devices, e.g. stop signs, traffic lights, and regular rules of the road. University golf carts without front and rear lights, may not be operated during dim-light or evening hours. Horns or other alert devices on university golf carts should not be used while carts are being operated on the interior portion of the campus except in emergency situations. Keys shall not be left in unattended carts.

20.3.3. Passengers

Operators may not carry passengers in university carts unless they are specifically authorized to do so by Department/Division heads. Operators must ensure that all passengers remain seated and refrain from shifting around while the cart is in motion. Passengers shall only ride in seats designated by the manufacturer for passenger use. Passengers shall not ride on the fenders, bumpers or outside portions of the cart at any time.

20.3.4. Parking

University carts will not be parked for extended periods in faculty and staff or student parking lots. Carts will be parked (except during active loading/unloading) so that they do not obstruct building exits or impede pedestrian travel on campus. Carts will not be parked in any manner that may obstruct Americans with

Disabilities parking spaces, or restrict disability access to and from buildings, walkways, or ramps.

20.3.5. Maintenance

Department/Division heads are responsible for the proper maintenance of their assigned carts. Operators are responsible for immediately reporting any unusual noise, mechanical problem, or other potential maintenance problem and abruptly cease operation of any cart that is unsafe. It is strongly recommended that Department/Division heads ensure ongoing preventive maintenance of their cart(s).

20.3.6. Reporting

Any accident/incident involving a university cart will be reported immediately to the university Department of Public Safety. As soon as practicable, operators involved in any accident/incident will immediately report the accident/incident to their immediate supervisor.

20.3.7. Violations

Violations of this policy may result in university disciplinary action or state traffic violations, where applicable.

20.3.8. Missing Student Notification Policy

This policy contains the official notification procedures of Clayton State University concerning missing students who reside on campus, in accordance with the requirements of the Higher Education Opportunity Act (HEOA) of 2008. The purpose of this policy is to promote the safety and welfare of the campus community through compliance with the HEOA requirements, and should be adhered to by all members of the campus community, faculty, staff and students.

In the event that a member of the campus community has reason to believe that a student who resides in an on-campus housing facility is missing, he/she should immediately notify the Clayton State University Department of Public Safety (DPS). The DPS will then notify the University's Vice President of Student Affairs or his designee, prepare a missing person report, and initiate an investigation. The DPS will also notify surrounding law enforcement agencies within 24 hours of the determination that the student is missing.

Per HEOA requirement, each student has the option to identify a confidential contact to be notified within 24 hours of the determination by the DPS or other law enforcement agency that the student is missing. If a student elects to identify a confidential contact that information will be maintained by the University's Housing Office, and is accessible only to authorized campus officials. The information may not be disclosed, except to law enforcement officials in furtherance of a missing person's investigation. If a separate missing person's contact is not identified by the student, an investigation will still be initiated and the emergency contact on record will be notified.

If the missing student is under 18 years of age and not emancipated, he/she can still designate a confidential contact. However, in compliance with the HEOA, a legal parent or guardian will also be notified.

All students who register for on-campus housing will be advised of this policy at the time of housing check-in. During the process, specific emergency contact information will be captured. At that time, students will have the opportunity to provide separate missing person contact information as well, if they choose to do so.

20.4 Prohibited Activities

The following activities are among those prohibited on the CSU campus:

- Archery
- Golf practice
- Dogs and other animals, except on leash and within designated areas
- Horseback riding
- Skating and skateboarding
- Firearms, air guns, BB guns and other weapons
- Use of controlled substances, unless with valid prescription
- Use of alcohol
- Hunting
- Fishing, except in designated locations and at designated times.

The Departments of Public Safety and Student Affairs shall create procedures and regulations pertaining to these and related prohibitions, which shall be available at <http://www.clayton.edu/public-safety/outdoor>.

20.5 The Campus Police Department

20.5.1 Purpose

The purpose of the campus police department is to maintain the safety of the University.

20.5.2 Scope

The campus police department shall be a part of the University's Public Safety organization. It shall enforce all applicable state and federal laws on campus, and its jurisdiction shall extend 500 yards beyond the University's property boundaries.

20.5.3 Policy

The University police department shall provide safety and protective services for the campus by patrolling the grounds and facilities, monitoring facility and special event access, locking and unlocking doors for authorized personnel and providing traffic direction to ensure pedestrian and vehicular safety. The police department shall provide to the University community training and crime prevention programs and related information, conduct site security surveys and investigate all reported incidents, including suspicious activities, reports of missing students, theft reports and other criminal investigations. The Department of Public Safety shall provide the community with reports of campus crime at <http://www.clayton.edu/public-safety/crimesafety>.

The University police department shall coordinate with the Clayton County Police Department and Sheriff's Office as well as the Cities of Morrow and Lake City Police Departments, as required, for effective crime prevention and detection on campus.

When the University's police arrests a person, that person shall be transported to the Clayton County jail and the subject's case shall be processed through the Clayton County judicial system.

21.0 Data Governance and Management

Information is a strategic asset of all University System of Georgia (USG) organizations and is critical to administration, planning and decision-making. Effective and responsible use of information requires

that data is secure, well documented, and accessible for use by authorized, trained personnel.¹

Clayton State will use a collaborative, iterative, and empirical process to define and implement policies to protect our data and systems. This process must work within the Data Governance framework outlined in the University System of Georgia Business Procedures Manual Section 12.2.

Data, and the means to share, analyze, and manage data, is a necessary and essential component of teaching, administration, and research. Our approach to managing data emphasizes the Core Values of Clayton State:

- Collegiality: Individuals and interactions that are governed by respect and collaboration over processes and tools
- Excellence: Emphasize procedures and technology that works for us versus creating more work
- Innovation: Responding to change over strict adherence to a plan

Policies, procedures, and standards will be developed by individuals who use the data to perform their daily tasks. Faculty and staff who use data and information systems to do their jobs will be asked to form committees (Work Groups) that are responsible for identifying issues of data reliability and security, training to help users secure and manage the quality of data, and other solutions relevant to their daily work. Systems managers and engineers (Technical Committees) will examine the proposals of these committees to make sure the proposals are feasible. The job of the Data Governance Committee is to ensure the operational effectiveness of the solutions that are implemented, and that Clayton State University policies and procedures address external security policy requirements.

21.1 Definitions

Information Systems	Are the technology structure and software administered for the purpose of storing, managing, using, and gathering of data and communication in an organization
Organizational Data	Data managed in an information system by, or on behalf of, a Clayton State University organization.

¹ Business Procedures Manual, Section 12.0: Data Governance and Management, University System of Georgia, found at https://www.usg.edu/business_procedures_manual/print/section12, accessed 13 March 2020.

	Organizational data may reside in an organizational information system or a third-party system.
Data	Information that records facts, statistics, or information, which is read, created, collected, reported, updated, or deleted by offices of Clayton State University. Data may be stored electronically or physically.
Organizations	All Clayton State University divisions, departments, auxiliaries, and affiliates.
Principle of Least Privilege	Determines access to information resources to only those resources necessary for users to successfully perform their job assignments
Cybersecurity	Preventative methods used to protect information and information systems from unauthorized access, compromise or attack. Cybersecurity requires an understanding of potential threats and utilizes strategies that include, for example, identity management, risk management and incident management.

21.2 Governance Structure

This section describes the roles and responsibilities that Clayton State organizations must designate and document within their data governance structure.

A data governance structure is required at each University System of Georgia Institution. The data governance structure will demonstrate accountabilities for the data assets of Clayton State organizations to ensure proper use and handling of data being read, created, collected, reported, updated, or deleted.

The data governance structure documentation should identify the offices/positions (including incumbent) responsible for fulfilling the roles herein. The documentation for Clayton State University's data governance structure may be found at <https://www.clayton.edu/about/office-of-the-president/data-governance>.

21.2.1 Governance and Organizational Structure

The following committees and positions reflect the structure for Data Governance at Clayton State University.

21.2.1.1 Data Governance Committee

The Data Governance Committee is responsible for defining, implementing, and managing policies and procedures for data governance and data management functions.

Specific responsibilities include, but are not necessarily limited to the following:

- Defining data management roles and responsibilities contained in this section and other policy and procedure documentation;
- Maintaining documentation pertaining to data governance and management policy and procedure in a centralized and accessible location for the participant organization staff;
- Identifying the Data Governance and Management Committee structure and membership;
- Ensuring that cybersecurity control processes detailed in the Cybersecurity section are developed and operational; and,
- Assisting the chairs of the functional and technical committees to ensure effectiveness.

21.2.1.2 Functional Data Governance Committees

Functional Data Governance Committees are responsible for collective decision making around substantive changes to organization data collection, maintenance, access, and use within their functional area. It is the role of the Functional Data Governance Committee to identify what the threshold is for decisions to require Committee consideration.

21.2.1.3 Technical Data Governance Committees

Technical Data Governance Committees are responsible for technical guidance to support the work of the other Data Governance Committees and for decision making about the feasibility of and methods for carrying out decisions of the Functional Data Governance Committees.

21.2.1.4 Data Owner

Clayton State University is responsible for all data read, created, collected, reported, updated, or deleted by offices of the organization. As the chief executive officer, the president of Clayton State University is identified as the data owner. The Clayton State University data owner has ultimate responsibility for submission of organizational data to the University System Office.

Data owners have the responsibility for the identification, appointment and accountability of data trustees. Data owners will inform the Clayton State University's Data Governance Committee of their data trustee appointments including office, name and contact information of the incumbent.

21.2.1.5 Data Trustees

Data trustees, designated by the data owner, are executives of Clayton State University who have overall responsibility for the data read, created, collected, reported, updated or deleted in their data area(s). Clayton State University data trustees have overall responsibility for accuracy and timeliness of submission of data to the University System Office. These positions/offices would normally be cabinet-level positions reporting directly to the entity data owner.

Responsibilities of the data trustees include, but are not necessarily limited to:

- Ensuring that data accessed and used by units reporting to them is done so in ways consistent with the mission of the office and Clayton State University;
- Appointing data stewards within each functional area for which they are responsible. The data trustees will inform the Clayton State University's Data Governance Committee of their data stewards' appointments, including office, name and contact information of the incumbent;
- Participating as a member of the Data Governance Committee; and,
- Communicating unresolved concerns about data (such as data quality, security, access, etc.) to the data owner.

21.2.1.6 Data Stewards

Data stewards, designated by the data trustees, are personnel responsible for the data read, used, created, collected, reported, updated or deleted, and the technology used to do so if applicable, in their data area(s). Data stewards recommend policies to the data trustees and establish procedures and guidelines concerning the access to, completeness, accuracy, privacy, and integrity of the data for which they are responsible. Individually, data stewards act as advisors to the data trustees and have management responsibilities for data administration issues in their functional areas. Data stewards have responsibility for accuracy and timeliness of submission of data to the University System of Georgia system office in their area. Depending on the size and complexity of a functional department/division, it may be necessary, and beneficial, for a designated data steward to identify associate data stewards to manage and implement the stewardship process.

Responsibilities of the data stewards include, but are not necessarily limited to:

- Developing standard definitions for data elements created and/or used within the functional unit. The data definition will extend to include metadata definitions as well as the root data element definition.

- Ensuring data quality standards are in place and met.
- Identifying the privacy level as unrestricted, sensitive or confidential, for functional data within their area(s) of supervision/direction and communicate it to those responsible for ensuring data is handled according to its appropriate classification. (See 21.4.2 Classification)
- Establishing authorization procedures with Clayton State University’s Data Governance Committee and/or chief information officer (CIO) to facilitate appropriate data access as defined by institutional/office data policy and ensuring security for that data. Authorization documentation must be maintained.
- Working with the Clayton State University’s Data Governance Committee, identifying and resolving issues related to stewardship of data elements, when used individually or collectively, that cross multiple units or divisions. For example, the individual data element “Social Security Number” may have more than one data steward since it is collected or used in multiple systems.
- Participating as a member of the Functional Data Governance Committee(s) as appointed by the data trustee.
- Communicating concerns about data (such as data quality, security, access, etc.) to the data trustees.

21.2.1.7 Chief Information Officer (CIO)/Chief Information Security Officer (CISO)

Responsibilities of the CIO and CISO are to ensure that technical infrastructure is in place to support the data needs and assets, including availability, delivery, access, and security across their operational scope.

21.3 Data Management

This section contains data management requirements for data system documentation, data elements and data definition documentation, data quality and data availability.

21.3.1 Data System Documentation

This subsection defines documentation about Clayton State University data systems. Documentation is required to ensure proper accounting of the

organization's data systems, the relationships among them, the architecture of the individual systems, and the data within them. This documentation also fosters proper use.

Clayton State University must maintain a listing of mission-critical data systems along with information essential to the effective loading, maintenance, use of, as well as reporting from, those systems. This should include at a minimum:

- Function and purpose of the system;
- Who the data trustee and steward responsible for the system are;
- Who administers the system from a technical perspective;
- Any methods being applied to sustain data quality;
- Any important relationships and/or dependencies in business practice and reporting between systems;
- Any special life cycle requirements;
- User and technical guidelines for proper use and reporting;
- Process flow diagram(s); and,
- Contingency documentation

21.3.2 Data Elements and Data Definition Documentation

For all data systems, there must be a mechanism to access documentation of the system's table structure and data elements. In addition, for systems that are part of routine data collection and reporting, data element dictionaries should be maintained that include:

- Data definitions;
- Metadata including data sources and security classifications;
- Business practices where applicable;
- Any validations or quality checks applied against the elements;
- Change history; and,
- Valid values.

21.3.3 Data Quality Control

Clayton State University will ensure that information is of the highest possible quality to facilitate effective decision-making. Data quality refers to the accuracy, timeliness, comparability, usability, completeness and relevance of data. Data quality requires Clayton State University to appropriately collect, store, process and manage data, whether electronic or physical. As part of data governance, Clayton State University will communicate, prioritize and practice data quality. Just as

institutions maximize their financial resources and facility assets, Clayton State University should invest in the quality of their data holdings.

For all data essential to operation and reporting, Clayton State University will:

- Document and promulgate data standards and definitions to ensure accurate data entry or data creation;
- Assess collected data to ensure accuracy, completeness, and adherence to standards at a minimum on an annual basis; and,
- Regularly consult data users or stakeholders to ensure data usability and relevance.

21.3.4 Data Availability

This subsection details minimum requirements for Clayton State University around the availability of data resources. Assets of the USG should be available commensurate with their operational importance. For all data domains and their respective data systems, the organization should document and socialize to data users the expectations and processes around the availability of each data resource including, but not limited to:

- The periods of time data is available;
- Expectations for “uptime” (percent of time data is available) if appropriate;
- Modes of access (types of devices, etc.) that are provided for;
- Communications plan around both planned and unplanned system downtime; and,
- Method for users to report an unexpected lack of availability of data or data systems.

21.3.5 Data Lifecycle

Clayton State organizations should ensure their data retention and destruction comply with the policy referenced Section 18.1 of the University Business and Operations Policies and Procedures Manual located at: <https://www.clayton.edu/about/docs/business-operations/business-operations-policies-procedures-manual.pdf>.

21.4 Cybersecurity

Cybersecurity refers to preventative methods used to protect information and information systems from unauthorized access, compromise or attack. Cybersecurity requires an understanding of potential threats and utilizes strategies

that include, for example, identity management, risk management and incident management.

21.4.1 Safeguards

Shared information is a powerful tool and loss or misuse can be costly, if not illegal. The purpose of this section is to ensure that cybersecurity safeguards are established, in place, effective and adhered to in order to reduce risk. This applies to all users of Clayton State University information resources.

Safeguards include the policies, procedures, requirements, and practices that are necessary for maintaining a secure environment for the storage and dissemination of information. The objective of Clayton State University divisions, departments, and schools is to protect information from inadvertent or intentional damage as well as unauthorized disclosures or use. The benefits of safeguards include identification of fraud, security vulnerabilities, unforeseen threats and minimization of potential impacts. Other benefits include audit compliance, service level monitoring, performance measuring, limiting liability and capacity planning.

Clayton State University recognizes that cybersecurity:

- Is everyone's responsibility;
- Is a cornerstone of maintaining public trust;
- Should be risk-based and cost-efficient;
- Should align with USG priorities, industry best practices and government requirements; and,
- Should be applied holistically, regardless of medium.

Clayton State organizations must designate trained cybersecurity representatives whose role includes:

- Communicating cybersecurity policies to all employees and contractors; and,
- Reporting deviations from policies.

Clayton State University must:

- Develop procedures and processes that support compliance with Board of Regents (BOR) and USG policies and procedures. Clayton State University procedures and processes may be more specific than BOR and USG policies and procedures but shall in no case be less than the minimum requirements; and,

- Develop strategic and operational control guidance of hardware, software and telecommunications facilities.

Clayton State University must develop reporting processes to support investigation of and response to suspicious activities and follow Clayton State guidelines for reporting or investigating acts of suspected malfeasance that involve organizational data as noted in the BOR University System of Georgia Ethics Policy.

21.4.2 Classification

Because Clayton State University data must be given appropriate protection from unauthorized use, access, disclosure, modification, loss or deletion, Clayton State University must classify each record. When classifying a collection of data, the most restrictive classification of any of the individual elements should be used based on the following classification structure or similar schema required by regulations governing specific data domains:

- **Unrestricted/Public Information** is information maintained by Clayton State University that is not exempt from disclosure under the provisions of the Open Records Act or other applicable state or federal laws. Some level of control is required to prevent unauthorized modification or destruction of public information.
- **Sensitive Information** is information maintained by Clayton State University that requires special precautions to protect from unauthorized use, access and disclosure guarding against improper information modification, loss or destruction. Sensitive information is not exempt from disclosure under the provisions of the Open Records Act or other applicable state or federal laws but is not necessarily intended for public consumption.
- **Confidential Information** is information maintained by Clayton State University that is subject to authorized restrictions on information access and disclosure, including means for protecting personal privacy and proprietary information. (44 USC Sec 3542) Confidential classified documents are exempt from disclosure under the provisions of the Open Records Act or other applicable state or federal laws.

Note: The Open Records Act is located at <http://law.ga.gov/law>.

In addition, **Personal Information** may occur in unrestricted/public, sensitive, and/or confidential information. Personal Information is information that identifies or describes an individual and must be considered in the classification structure. Please refer to the University System of Georgia IT Handbook for further

information and guidance. Information classification must be part of the information technology risk management program, as detailed in the IT Handbook.

21.4.3 Access Procedures

This section promotes secure and appropriate access to USG information systems, and to the data used, processed, stored, maintained and/or transmitted in and through those systems. It is essential that access to and use of the Clayton State University information systems and data are properly secured and protected against cybersecurity threats and dangers.

All users are required to adhere to the following rules in order to use, access, store, process, and/or display data acquired from Clayton State University information systems. These rules also apply to any contractors or non-USG persons who acquire access to Clayton State University systems in any format, and on any device.

Procedures:

- Clayton State University shall identify and categorize information systems that process or store confidential or sensitive information, or are critical systems. The suggested responsible party is the data trustee or designee.
- Clayton State University will identify the data trustee and data steward for each critical system or systems containing confidential or sensitive information. A list of these systems and the associated trustee and steward shall be made available upon request.
- Clayton State University will maintain a current list of users granted access to information systems. Only authorized users should be allowed physical, electronic or other access to information systems.
- Clayton State University will define both administrative and technical access controls. The suggested responsible parties are Human Resources (HR), the data trustee and data steward.
- Access controls must include, but are not limited to:
 - Documented procedures to grant, review, deactivate, update or terminate account access;
 - Ensure appropriate resources are available and maintained to adequately authenticate and verify authorized access; and,
 - Ensure appropriate resources are available and maintained to prevent and detect unauthorized use.
- Data trustees, data stewards and users share the responsibility of preventing unauthorized access to Clayton State University's information systems.

- Data stewards will analyze user roles and determine the level of access required to perform a job function. The level of authorized access must be based on Principle of Least Privilege.
- HR and/or the supervisor will notify the data steward of personnel status changes in job function, status, transfers, referral privileges or affiliation.
- Access to an information system must be reviewed regularly. Data stewards must review user access to the information system every six months and document findings.

Data trustee or designee will ensure that a business process exists to update information system access no more than five business days after terminations and no more than 30 days after other personnel status changes.

21.4.4 Segregation and Separation of Duties

In addition to having a well-organized and defined data governance structure, Clayton State University must ensure that its organizational structure, job duties, and business processes include an adequate system of separation of duties (SOD) taking into account a cost-benefit and risk analysis. SOD is fundamental to reducing the risk of loss of confidentiality, integrity and availability of information. To accomplish SOD, duties are divided among different individuals to reduce the risk of error or inappropriate action. For example, the employee or office responsible for safeguarding an asset should be someone other than the employee or office that maintains accounting records for that asset. In general, responsibility for related transactions should be divided among employees so that one employee's work serves as a check on the work of other employees. When duties are separated, there must be collusion between employees for assets/data to be used inappropriately without detection.

While electronic processes enhance accuracy and efficiency, they also can blur SOD. Clayton State University divisions, departments, and schools must evaluate and establish well-documented controls to deter an individual or an office from having the authority (or the ability) to perform conflicting functions both outside and within technology information systems.

21.5 Compliance

As a unit of the University System of Georgia, Clayton State University will develop operational strategies and procedures to comply with policies required by the University System of Georgia Business Procedures Manual Section 12.0.

Meeting the provisions of Section 12 on Data Governance and Management requires active measures by University System of Georgia organizations to ensure

ongoing compliance. These include ensuring compliance with external regulations in addition to the provisions in this section through regular training, monitoring and auditing. The Data Governance Committee will audit Clayton State University Data Governance policies annually, unless otherwise required, to ensure compliance with University System of Georgia policies.

21.5.1 Regulatory Compliance

Closely managing data content is necessary to ensure compliance with federal, state and local regulations as well as grants and contract specifications. Each Clayton State division, department, and schools is responsible for clearly understanding and managing data to ensure confidential data is appropriately classified and safeguarded. Clayton State University will comply with Data Governance policies and procedures by ensuring that appropriate organizational personnel has a working knowledge of:

- Georgia’s Open Records Act OCGA § 50-18-70
- Family Education Rights and Privacy Act (FERPA)
- U.S. Department of Health and Human Services Health Information Probability and Accountability Act (HIPAA)
- Gramm-Leach-Bliley Act (GLBA)
- General Data Protection Regulation (GDPR)
- Specific research data requirements
- Other applicable regulations

21.5.2 Training

The purpose of this section is to ensure that appropriate individuals at Clayton State University receive training on the data governance policies, procedures, and roles developed in compliance with preceding requirements in this Data Governance and Management section.

Organizations must:

- Provide role specific training to all individuals within the data governance structure, including data users and all those subject to data governance policies;
- Ensure individuals understand their roles and the larger governance structure, responsibilities, and applicable policies and procedures;
- Provide training to individuals as they enter these roles, when there are substantive changes to training and at regular intervals over time to ensure up-to-date understanding;

- Update training materials as changes to policy and procedure require;
- Document participation in training and audit training participation at regular intervals;
- Provide training materials in a permanent form (such as on a website) for individuals to reference as needed;
- Specifically address in training materials for all individuals how data classified as public or protected is managed throughout its lifecycle; and,
- Provide clear information about how an individual should proceed if he or she believes data policies or standards are not followed, or there has been a breach of data security.

21.5.3 Monitor

The Data Governance Committee of Clayton State University is responsible for assigning roles and responsibilities for data governance and management per Section 21.2.1. In addition to the development and implementation of policies and procedures, the Data Governance Committee will assign roles and responsibilities for active monitoring of these policies and procedures to ensure compliance.

21.5.4 Audit

Compliance with this Data Governance and Management section of the Business Procedures Manual can be a subject of institution, system or state audit. Clayton State will maintain records not only of documentation explicitly referenced in this section but also general evidence that the organization is in compliance with its data governance and management policies and procedures.

END OF MANUAL