

ALBANY STATE UNIVERSITY

Fiscal Affairs Policies and Procedures Manual

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000 INTRODUCTION

001 PURPOSE OF MANUAL

- 001.01 Albany State University has many responsibilities and must operate under many policies, regulations and laws from State and Federal governments and the Board of Regents. Thus, the Fiscal Affairs Office embraces the policy of conforming to all statutory and other official requirements.
- Concurrent with this policy, the Office, by simplifying 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 fiscal affairs

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.

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

002 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 costly 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; and A guide for appropriate performance evaluation of employees.

003 DISTRIBUTION

003.01 GENERAL POLICY

The Office of the Vice President for Fiscal Affairs is responsible for the publication and distribution of the

Albany State University Fiscal Affairs 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 Fiscal Affairs of any changes in

distribution requirements, including change of address, the addition or deletion of addressees, and

change in the number of copies required.

003.02 RECIPIENTS

This Manual is intended for all personnel in the Fiscal Affairs Division as well as for School, Department,

Division, or any other Unit personnel who perform functions of, or related to, fiscal affairs. Insofar as

practicable, offices should share a Manual.

003.03 CHANGES IN DISTRIBUTION REQUIREMENTS

By a memorandum that he or she signs, a Department/Unit Head must express to the Office of the Vice

President for Fiscal Affairs any changes in distribution.

For a change in location of an addressee already on the distribution list, the Department/Unit Head must

show both the old and the new addresses.

When a new addressee is to be added to the distribution list, the Department/Unit Head must show the

complete campus mailing address and the required number of copies of the Manual.

When an addressee is to be deleted from the distribution list, the Department/Unit Head must return the

addressee's Manual to the Office of the Vice President for Fiscal Affairs.

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004 POLICIES

The following statements define and clarify what this Manual terms "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.

005 PROCEDURES

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

Procedures are amplifications of policies;

They describe, in detail, 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.

006 ARRANGEMENT OF CONTENTS

A Table of Contents provides a list of the subject matter as arranged by sections, to which are assigned

numbers. There is no continuous pagination in the Manual. Topics and subjects are identified and

located by Section numbers. Exhibits are numbered by section. For example, Exhibit 302.01-1 is

Exhibit No. 1 of Section 302.01. An Index lists, in alphabetical order, a detail of subjects included in the

Manual and gives the section number in which the material on the subject appears.

007 REVISIONS

SECTION 007.01, SUBJECT: MANUAL CHANGE NOTICE, provides a method by which policies and

procedures can be regularly modified, deleted or added as necessary. The Manual is 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 Fiscal Affairs will provide

diskettes of the complete Manual to those who have computer facilities to use them.

This Manual is intended to be a daily guide for Departments/Units in conducting their fiscal affairs operations. The Office encourages users to forward, to the Office of the Vice President for Fiscal Affairs, comments regarding revision and/or additions that would help better to achieve this purpose.

007.01 MANUAL CHANGE NOTICE

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The purpose of the Manual Change Notice Section is to provide a method by which policies and

procedures can be modified, deleted, or added to as necessary on a continual basis. All material noted

under a Manual Change Notice should be entered in the appropriate section and the Manual Change

Notice filed in the log section as soon as possible. The individual responsible for maintaining this Manual should also record all Manual Change Notices in the log provided.

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007.02 MANUAL CHANGE NOTICE POSTINGS

MCN

No.

Date

Issued

Date

Effective

Date

Entered

Entered by – Signature

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100 FISCAL AFFAIRS ORGANIZATION

101 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 By electing a Chancellor of the System and, under his supervision, Presidents of the institutions who are given responsibility and authority for administration of the System in accord with the adopted policies.

101.01 CHARTER

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)

101.02 NAME

The official name of the Board of Regents under its Constitutional charter is “Board of Regents of the

University System of Georgia.”

101.03 CONSTITUTIONAL PROVISIONS

101.0301 “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.

101.0302 "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,

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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.

101.0303 "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.

101.0304 "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.

101.0305 “The Board of Regents may accept bequests, donations, grants, and transfers of land, buildings, and other property for the University System of Georgia.

101.0306 “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)

101.04 POWERS OF 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.”

102 THE UNIVERSITY

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

102.01 ACCREDITATION

“Albany 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.”

“Albany 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.”

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102.02 ORGANIZATION

The University organizational charts are included in the Exhibits for Section 103.

103 VICE PRESIDENT FOR FISCAL AFFAIRS

The Vice President for Fiscal Affairs 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 Fiscal Affairs, who is responsible

for the fiscal affairs administration of the University, has custody of all funds, securities, and assets of

the University and has the following duties:

Administering all accounting records and procedures, and preparing and interpreting all financial reports;

Assisting the President in preparing and controlling the University budget and in approving and executing all contracts;

Receiving all funds paid to the University and supervising and accounting for all income-producing

activities of the University and all disbursements and payments by the University;

Supervising all Auxiliary Services and approving all fund-raising campaigns; and

Approving employment of all non-academic personnel and, in consultation with the

Director of Human Resources Management, establishing hours and wages for these personnel.

The Vice President for Fiscal Affairs is also responsible for all purchasing for the University and for

assisting the President in the building program and other expansion of physical facilities.

103.01 MISSION

The Fiscal Affairs offices of the University exist to provide services, products, activities, funds, and information, all of which enhance the quality, effectiveness, and efficiency of the academic enterprise.

103.02 RESPONSIBILITIES OF OFFICE

The primary responsibilities of the Office of Fiscal Affairs are to provide leadership, manage the 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; and

Design and carry out appropriate evaluation procedures.

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103.03 ASSIGNMENTS OF RESPONSIBILITIES AND FUNCTIONS

Six administrative directors report to the Vice President for Fiscal Affairs. One is the Director of

Financial Operations, who develops and maintains financial accounting systems and procedures and

prepares fiscal reports. He or she is responsible for payroll, budget compliance, accounts payable,

cashiering, and administrative computer services. In addition, he or she performs other duties assigned

by the Vice President for Fiscal Affairs.

The Director of Human Resources Management reports to the Vice President for Fiscal Affairs. The

Director assists in the recruitment and retention of personnel, administers the fringe benefits programs

of the institution, administers the wage and salary program of the institution, provides employees with

financial, retirement, and personal counseling, and performs other duties assigned by the Vice President for Fiscal Affairs.

The Director of Logistical Services is responsible to the Vice President for Fiscal Affairs and is

responsible for Procurement, Central Stores and other logistical services. The Director performs other

duties assigned by the Vice President for Fiscal Affairs.

The Director of Plant Operations reports to the Vice President for Fiscal Affairs and, except for

educational equipment, is responsible for all physical facilities and equipment of the University. The

Director operates and maintains the physical plant, including all utilities, heating, air-conditioning and

refrigeration, building alteration and maintenance, and related activities. He or she maintains the streets

and grounds of the University and is responsible for custodial and janitorial services for all University

buildings. He or she is also responsible for telecommunications (including the switchboard), warranty

maintenance and repairs on certain equipment items, the Motor Pool and other related Plant Operations

services. The Director performs other duties assigned by the Vice President for Fiscal Affairs.

The Director of Budgets and Contracts reports to the Vice President for Fiscal Affairs and is responsible

for budget preparation, compliance, revision, and maintenance. Grants and contracts management,

development of special reports and analyses, computer assistance and other administrative support are

also functions assigned to this area. This individual also performs other duties assigned by the Vice

President for Fiscal Affairs.

The Director of Auxiliary Services reports to the Vice President for Fiscal Affairs and is responsible for

Inventory Control, Auxiliary Services (Bookstore, Laundry, Housing, Food Service, Post Office, and

Vending Operations, for example) and other duties as assigned by the Vice President. *The Director of Public Safety reports to the Vice President for Student Affairs. Responsible for campus security, traffic control, and parking, the Director does other duties assigned by the Vice President for Student Affairs. Although this function does not report to the Vice President for Fiscal Affairs, the policies and procedures for Public Safety are included in this Manual at Section 1400.*

103.04 UNIVERSITY ORGANIZATION FOR FISCAL AFFAIRS

Exhibits 103.04-1 through 103.04-9 include the organization of Albany State University, the organization

of the areas of the Vice President for Fiscal Affairs and the organization of the Public Safety Department.

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200 BUDGETS

201 POLICY

201.01 GENERAL

The Vice President for Fiscal Affairs has primary responsibility for providing assistance to the President in the preparation and control of University budgets. There is a division of authority and responsibility incorporated into the University System of Georgia policies and procedures concerning the administration of financial resources. The chief executive officer (President) of the University “shall be the executive head of the institution and of all its departments, and shall exercise such supervision and direction as well as promote the efficient operation of the institution” (BR Policy 203.025). Sole authority and responsibility for the management of financial resources reside with the Vice Chancellor for Fiscal Affairs and Treasurer of the Board of Regents. The chief financial officer of an institution (Vice President for Fiscal Affairs of Albany State University), in all financial matters, acts as an agent of the

Treasurer of the Board of Regents within authority specifically delegated by the Treasurer: "...The Vice

Chancellor for Fiscal Affairs and Treasurer is authorized, with the approval of the Chancellor, to delegate

to the chief business officer of any institution the authority to execute any and all documents which may

be necessary, required or desirable in order to provide proper fiscal management of funds given to the

institution or to the Board of Regents for the benefit of the institution concerned" (BR Policy 201.0306).

The relationship between the President and the Vice President for Fiscal Affairs (acting as an agent of

the Treasurer of the University System of Georgia) in all matters of budget preparation, expenditures and

financial management is based on fiduciary principles. The President reports regularly to the Board of

Regents, through the Chancellor, on the operation of those aspects of the institution under his control.

The Vice President for Fiscal Affairs, through audits, reports and the University of Georgia System

computerized accounting and reporting system (directly accessible by the Office of the Treasurer of the

Board of Regents) is constantly monitored for compliance with Board of Regents policies and procedures and fiscal accountability.

The Board shall make the allocation of funds to the several institutions at the April 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 May meeting in each year, or as soon thereafter as may be practicable.

(Bylaws, Article VIII)

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. (BR Policy No.

701)

201.02 PREPARATION AND APPROVAL

The Board of Regents Policy Manual, Section 702 sets forth basic budget policies as follows:

“Financial and budgetary procedure for the University System shall divide financing, accounting, and operation of fiscal affairs into two parts: first, educational and general facilities, such as cost of instruction, research, public service, academic support, student services, institutional support, operation and maintenance of plant, and scholarships and fellowships, and such income as student fees, federal grants, endowment income, vocational funds, income from sales, gifts, rentals, and other related items; and, second, auxiliary enterprises, such as dining halls, dormitories, and other related items.

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“Educational and General: Under this arrangement, the first division—educational and general facilities—will be financed with income derived under this division and with funds provided by the State. Any savings made in operation of this division shall be expended only at the direction of the Board. The Board shall also consider any loss that may occur in its operation.

“Auxiliary Enterprises: The second division—auxiliary enterprises—shall be placed on a selfsupporting

basis, and the State will not make an appropriation to finance its operation. Funds collected from these enterprises will be used to provide the best possible services that can be provided for the amount charged without subsidy or support from the funds of the institutions for maintenance and utility services. The funds collected will be left with the institutions, and an institution will be allowed to expend only 95% of the gross income in the operation of these enterprises. Profits made from these enterprises will be used at the direction of the Board for auxiliary enterprises.

“Student Activity and Athletic Budgets: Institutions of the University System shall submit to the Chancellor, for approval by the Board of Regents, before July 1 each year, an annual budget of income and expenditures of the student activity and student athletic programs to be financed from the fees charged to students for these purposes. Operating budgets of separately incorporated athletic organizations are specifically excluded from this process, although the transfer of student fees to those separately incorporated organizations must be reflected as a single item in the budget submitted to the Chancellor. Institutions shall submit amendments to this approved budget routinely to the Board of Regents for approval, under procedures developed by the Fiscal Affairs Staff of the Board of Regents. (BR Policy 702.3) “Operating Budgets: Each institution of the System shall prepare an operating budget for educational and general activities and an operating budget for auxiliary enterprises operations of the institution for the fiscal year

within the limit of funds allocated plus estimated internal income of the institution. (BR Policy 702.04)

“Lease Rental Payments: In preparing, or approving, any budget controlling or providing for the expenditure of its revenue for any yearly period the Board will approve and allocate from monies received, or entitled to be received, amounts required to pay rental payments due under lease agreements with the University System Building Authority during such yearly period before making provisions for any other use of monies to be received during such yearly period. (BR Policy 702.05)

“Increases in Budgets: Any expansion in operations that would necessitate an increase in the approved budget shall be submitted to the Board for approval before any obligation is incurred therefor. (BR Policy 702.06)

“Authorization Required For All Expenditures: No official of the Board of Regents nor any official of the institutions of the University System is authorized to expend any funds on hand which may have accrued from balances from previous periods or from income for any subsequent period unless the expenditures have been approved by the Board. Bonds of public officials authorizing expenditures for any purpose whatsoever that are in excess of budget amounts approved by the Board shall be liable for such unauthorized expenditures. (BR Policy 702.07)

“All expenditures of institutions must be approved by the Board before they are made unless otherwise specified by the Board. (BR Policy 702.07)

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“All expenditures shall include the expenditure of all funds received from all sources.”

201.03 PLANNING, DEVELOPMENT AND ADMINISTRATION OF BUDGETS

The President has sole authority and responsibility for planning, development, and approval of the

University budget for transmittal to the Chancellor and Board of Regents, subsequent amendments to

that budget, and assurance of the integrity of the administration of the budget to effect the mission of

the University. He exercises this authority and responsibility by assignment of certain duties and responsibilities to the Vice President for Fiscal Affairs.

The University prepares an appropriately detailed annual budget. The two principal categories of

budgeting are for Personal Services (salaries, benefits, including student and graduate assistant wages)

and Non-Personal Services (travel, operating expenses, and equipment). Each subcategory is further

divided into individual line items such as supplies and materials, repairs and maintenance, printing,

subscriptions, computer charges, telecommunications, etc.

201.04 CONTROL AND AMENDMENT

Budgetary control is the responsibility of the President, assisted by the Vice President for Fiscal Affairs.

Revisions in the budget are made through budget amendments that follow a prescribed approval process

and require the approval of the budget Unit Head, the Dean or Director, and the President. The five

copies of the budget amendment are distributed to the Budget Officer, the President, the Vice President

for Fiscal Affairs, the appropriate University Vice President, and the Department/Unit.

According to University System policy, directives and procedures, the institution maintains a centralized

system of budget control, and renders monthly interim budget statements to department heads.

202 PROCEDURES

202.01 LEGISLATIVE REQUEST

The budget process in the University System of Georgia begins with a legislative request made by the

Board of Regents for its institutions. Therefore, before the legislative request by the Board, the

Chancellor transmits to the President of each institution instructions for the preparation of budgets.

Upon receipt of these instructions and/or guidelines the President of Albany State University initiates

the budget planning process for the University. The President provides additional instructions and

information to the other key administrators (Vice Presidents, Deans, Directors, Department

Chairpersons, etc.) who in turn, request budget information from units within their areas of responsibility.

These requests are then submitted to include funding new initiatives and other budget information

required to provide appropriate budget requests to the Board of Regents. The plans, program descriptions, funding requests and other budget information are then received, modified and consolidated by the Vice Presidents and other appropriate administrators and forwarded to the Vice

President for Fiscal Affairs. He will assemble these materials and with the assistance of the Director of

Budgets present them to the President for his review, consolidation and approval. The President then

transmits his approved University request to the Chancellor for review and/or modification.

The Chancellor, his staff and the appropriate Committee(s) of the Board of Regents hold hearings with

institutional representatives, coordinate all institutions' Legislative Requests into a System Request and

submit it to the Legislature. This process usually concludes in the fall preceding the next fiscal year.

When the State Legislature and the Governor establish the final appropriation level for the University

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System, the process is reversed through the same channels to the individual institution, specific allocations are made and the final budget process begins.

202.02 UNIVERSITY'S BUDGET PREPARATION

Upon receipt from the Board of Regents Office of the amounts of Albany State University's budget

allocations, the President, through the Vice President for Fiscal Affairs and the Director of Budgets,

develops local guidelines and procedures for distribution to the Administrative Units of the University.

These are transmitted by means of memoranda to all budgetary units of the University.

Included with these instructions, guidelines, allocations, and other relevant materials is a printout that

provides to each budgetary unit the following data:

Current year's beginning budget, and

Current year's amended budget to date.

A blank column is provided for the budget projections (requests) for that Department/Unit for the next fiscal year. It includes data for both Personal Services and Non-Personal Services budget categories.

The Departments/Units are given a deadline by which their initial budget requests (within guidelines,

allocations, etc. provided) must be received by the Director of Budgets for the President and Vice President for Fiscal Affairs. The completed requests are submitted through the appropriate Vice Presidents and other levels of administrative review and/or recommendation for approval.

From the viewpoint of the area for which each is responsible, the Vice Presidents will make

modifications that, in their judgments, will best serve the needs of the University. Budget requests are

then forwarded to the Vice President for Fiscal Affairs who, with the Director of Budgets, consolidates

them for review, modification and/or approval by the President. Further consultation with the Vice

Presidents and other administrators is accomplished by the President, Vice President for Fiscal Affairs

and the Director of Budgets, as needed. Based on these modified and/or approved requests, the staff of

the Vice President for Fiscal Affairs prepares a budget plan for the operation of the University from July 1

through June 30 of the succeeding fiscal year. When completed and published, it is forwarded to the

Board of Regents over the signature of the President and, once approved, becomes the official budget

for the University.

The Budget Division of the Office for Fiscal Affairs publishes copies of the official budget and distributes

copies to each appropriate Administrative Head for all budgets and accounts within his or her area of

responsibility. The Director of Budgets ensures that budget data are keyed into the University System

of Georgia Accounting and Budgeting Systems and any University subsystems.

202.0201 Student Activities Budgets

To provide for funds for certain educational, cultural, recreational, or social purposes for the benefit of the

University's students, Albany State University will, after approval by the Board of Regents, charge

mandatory Student Activity Fees. The University will recommend to the Board of Regents the amount of

such fees to be charged to the students. When approved by the Board of Regents, such fees are

mandatory and all fees collected are subject to the control and audit of the Board of Regents and the

provisions of this Manual.

The President and the Vice President for Fiscal Affairs will annually review the budgets for the proposed

use of Student Activity Fees and the President will certify to the Board of Regents that the proposed

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expenditures for such fees are for educational, cultural, recreational or social purposes for the benefit of

the students.

All Student Activity Fees collected by the University will be budgeted and administered in accordance

with the administrative procedures of this Manual. In addition, the advice and counsel of an advisory

committee, (Student Budget Committee) appointed by the President and composed of at least fifty (50)

percent students, will be considered in the preparation of budgets and in the use of these funds.

All payments from Student Activity Fee funds will be made by the Vice President for Fiscal Affairs upon

receipt of a properly approved invoice, contract or other such payment document.

(BR Manual 705.05)

202.03 BUDGET MAINTENANCE

The Office of the Vice President for Fiscal Affairs will provide monthly Appropriations Ledger History

Reports and Expenditures (Appropriations) Reports (Exhibit 202.03-1) to each budgetary administrative

unit and, through the Director of Budgets and other appropriate staff, will assist Departments, Divisions,

and other Units, in interpreting and maintaining each budget account throughout the fiscal year.

202.04 BUDGET AMENDMENTS

To amend any part of a Department's/Unit's budget during the fiscal year, a Department/Unit Head or

other official responsible for a budgetary unit must prepare and submit to the appropriate Dean, Director

or other Administrative Head, a Budget Amendment Request (Letter or Memo). As a minimum this

request should include the following for each account for which an amendment is requested:

Account Number,

Description,

Amount for each account being amended, and

Brief justification for the change requested.

Upon written approval of the appropriate Program Director, Dean, and/or Vice President the request is routed through

channels to the President. When approved by the President (or his Designee), the Vice President for Fiscal Affairs

forwards the request to the Director of Budgets, who will review for accuracy of such concerns as account detail,

improper cross-funding, policy compliance, and then enter the amendment into the Budget and Accounting

Systems. Upon final approval by the Board of Regents Office (when required) the Director of Budgets will apply an

“approved” stamp to each copy of the five-part Budget Amendment Request form, indicate the date entered into the

Budget and Accounting System, and forward the Department copy to the originator of the request.

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300 ACCOUNTABILITY AND THE ACCOUNTING SYSTEM

301 INTRODUCTION AND GENERAL STATEMENT

Albany State University, as a unit of the University System of Georgia, is required to use the College and University Fund Accounting System developed and operated by the Board of Regents of the University System of Georgia. This accounting system, as designed, maintained, modified and

operated by and under the auspices of the Board of Regents, is governed by the following Board of

Regents manuals:

College and University Fund Accounting, Users Reference Manual, Board of Regents, University System of Georgia; and Business and Procedures Manual, Volume I Revised, Accounting Procedures and Instructions, Board of Regents, University System of Georgia.

Since personnel of the Financial Operations Department operate this on-line system through data

processing equipment belonging to Albany State University and the Board of Regents, such operations

must comply with the provisions of the two manuals cited above. Therefore, the policies and procedures

of these manuals are incorporated into and become a part of this Manual. Because these manuals by

nature apply only to the Financial Operations personnel of Fiscal Affairs, their contents are made a part

of this Manual by reference, not by reproduction.

302 OTHER AUTHORITATIVE DOCUMENTS

The College and University Financial Accounting System of the University System of Georgia as it is

currently formulated, developed and operated is the result of many contributing documents, publication

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); and Audits of Colleges and Universities, the AICPA (American Institute of Certified Public Accountants) industry audit guide.

Personnel of the Financial Operations Department must be familiar with the requirements of all

authoritative literature concerning Fund Accounting and Reporting applicable to Albany State University.

303 GENERAL POLICIES FOR THE ACCOUNTING SYSTEM

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303.01 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 College and University Fund Accounting (CUFA) System of the University

System of Georgia, as operated and used by and for Albany State University, is the vehicle through

which all fiscal affairs (business and financial) 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.

303.02 ACCRUAL BASIS OF ACCOUNTING

All accounting records for Current Operating Funds are maintained on a modified accrual basis of

accounting. On this basis of accounting the underlying principle is that revenue additions are recorded

and reported when earned, and expenditures/deductions are recorded when obligations are incurred

(when materials, services, etc. are received). The CUFA system is formatted and designed to provide

primary application of this principle and to provide for the accrual basis to be reflected in the financial

statements. It is recognized, however, that the degree of materiality of some items may dictate that it

is neither necessary nor desirable to accrue all revenues or to prorate all expenditures to the highest

degree possible. In the University of Georgia System, although obligations are encumbered against

budgetary accounts, expenditures must be recorded at the time cash is actually disbursed, except at

year-end closing when the appropriate liabilities are entered. Accrual accounting principles are applied

in specific ways.

303.0201 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.

303.0202 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.

303.0203 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.

303.0204 Inventories

Stores inventories for continuing current operations, such as office, janitorial and maintenance supplies,

are recognized as assets in the unrestricted current funds. The values are stated at the lower of cost

(determined on average cost basis) or market value. Inventories of Auxiliary Services are also reported

in unrestricted current funds assets as a separate amount.

303.0205 Summer School

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When the beginning and ending dates of a summer school session are in two fiscal years, revenues and

expenditures are reflected in the fiscal year in which they predominantly fall.

304 RESPONSIBILITIES OF THE FINANCIAL OPERATIONS DEPARTMENT

The Director of Financial Operations serves as the University's chief financial and accounting officer

reporting to the Vice President for Fiscal Affairs and, in this position, is responsible for providing

financial leadership and direction in the performance of all financial functions of Albany State University.

Specific duties and responsibilities assigned to the Office of Financial Operations 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,
- Administrative data processing operations,
- Cashiering,
- Student billings,
- Cash management,
- Training of financial operations staff,
- General accounting operations, and
- Auditor liaison.

The Director of Financial Operations is also responsible for ensuring that all accounting functions,

systems, etc. are in full compliance with the authoritative literature cited above. He or 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, Volume I Revised, Accounting Procedures and Instructions.

An annual review will be conducted each year by the Director of Financial Operations and its results reported, in writing, to the Vice President for Fiscal Affairs. This 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, as approved by the Vice President for Fiscal Affairs.

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

305 COLLEGE AND UNIVERSITY FUND ACCOUNTING (CUFA) SYSTEM STRUCTURE AND CODES

The CUFA 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

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placed in a fund group, each entity within a fund group having its own set of assets, liabilities and fund

balance.

The structure of the CUFA computerized accounting system is based upon an eighteen-digit account

number with a five-digit report identifier. The code structure for this account number complies with the

national standards and principles referred to in Section 302 and allows for reporting by classifications

and categories, reporting compatible with information from colleges and universities throughout the

United States.

A detailed description of the design and structure of the account numbers is found in the two manuals

referred to in Section 301. Since their full use and understanding are required only by accountants and

certain other financial operations personnel, no attempt will be made to reproduce this material here.

Instead the appropriate users are referred to Sections I and II of the Board of Regents Business and

Procedures Manual, Vol. I Revised, Accounting Procedures and Instructions and Section I of College

and University Fund Accounting, Users Reference Manual, Board of Regents.

306 OBJECT CLASSIFICATION CODES

University Department/Unit account numbers assigned by the Fiscal Affairs Office include a field of

five-digit object classification codes (the last five digits of the eighteen digit account number). Some

knowledge of these codes, included as Exhibit 306-1, is required throughout the campus.

307 BASIC FINANCIAL REPORTS AND STATEMENTS

Through the CUFA system the Financial Operations Department can generate various financial reports

and statements for use by appropriate administrators in meeting their managerial responsibilities

concerning financial matters. The standard reports and statements are available “on order,” while the

capability exists to develop unique reports for Albany State University by using software available with

CUFA.

The basic, standard reports used are as follows:

- Accounts Payable History Report,
- Expenditures (Appropriation) Report,
- Appropriations History Report,
- General Ledger Report,
- General Ledger History Report,
- Revenue Ledger Report,
- Revenue Ledger History Report,
- Cash Receipts History by Payer Name,
- Cash Receipts History by Receipt Number,
- Cash Disbursements Report,

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Vendor History by Vendor Number and Purchase Order Number, and Vendor History by Vendor Name and Invoice Number.

Some of these are distributed to user Departments/Units of the University (Expenditures [Appropriation]

Report, Comparison of Budget to Actual Expenditures, and the like).

307.01 SCHEDULE OF REPORTS

A schedule of reports to be provided regularly by the Financial Operations Department to the Administrative

Divisions/Units is shown on the following page:**SCHEDULE OF REPORTS REPORT APPROXIMATE TIME (HOURS)**

FREQUENCY PERIOD

COVERED

COPIES DELIVER TO:

- Accounts
- Receivable
- 1 ½ Weekly (Tues. &

Fri.)
Cumulative 5 Financial Aid – 1
President – 1
Financial Operations – 2
Cashiering – 1
Financial Aid, All
Balance
2 Monthly (1* & 15ⁿ)
• Detailed)
Cumulative 3 Financial Aid – 1
Financial Operations – 2

Chart of Accounts 1 Monthly (5ⁿ) Cumulative 8 Financial Operations – 4 Human
Resources Management –

3
Logistical Services – 1
Vendor Books 2 Monthly (5ⁿ) Cumulative 4 Logistical Services – 1
Financial Operations – 3
Vendor History
Report
1 Monthly Fiscal Year 2 Accounts Payable – 1
Financial Operations – 1
J Pay 53 & J Pay 54
• Payroll Account

Distribution

1 Monthly Quarterly 2 Human Resources Management –
1
Financial Operations – 1

NOTE: All reports may be printed upon request. The composition and frequency of distribution for

the Accounts Receivable Report and the Financial Aid Report will change with the implementation of the Banner Student System.

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308 UNIVERSITY BANK ACCOUNTS

The President of the University, having determined the bank, or banks, where funds are to be deposited,

will inform the Treasurer of the Board of Regents of the bank, or banks, to be used. The Treasurer of the

Board of Regents will handle all details relative to the bank, or banks, furnishing the required depository

protection. (BR Manual 705.01)

The Vice President for Fiscal Affairs and the Director of Financial Operations will be familiar with and

comply with the following Procedural Directives of the Board of Regents Business Procedures Manual,

Volume I Revised, Accounting Procedures and Instructions:

Directive No. 4, Automated System for Drawing State Appropriations—Resident Instruction Funds and Other Organized Activities;

Directive No. 9, Investing Funds in Savings and Loan Associations—Insurance Coverage and Collateral Requirements;

Directive No. 10, Change in Classification of Certificates of Deposit with Savings and Loan Organizations;

Directive No. 14, Recording of Interest Earned on N.O.W. Accounts and Time Deposits;

Directive No. 20, Changing Banks for General Operating Accounts and/or Payroll Accounts;

Directive No. 21, Placement of Cash in “Cash in Banks—Time Deposits” and/or “Cash in Savings & Loans—Time Deposits”;

Directive No. 22, Internal Control of Wire Transfers as a Medium for Handling Cash Receipts and Cash Disbursements; and Directive No. 23, Investing in the Local Government Investment Pool.

308.01 LEDGER ACCOUNTS AND BANK RECONCILIATION

Bank deposits (including Wire Transfers) will be recorded immediately to the appropriate General Ledger

Accounts, the same day as the deposit when possible and practicable. Deposits must be prepared in

accordance with Section 405 of this Manual, ensuring that proper listing and recording of checks and

credit card transactions is accomplished in such a manner as to permit proper audits and to enhance

practical bank reconciliation.

Reconciliation of Bank Statements to General Ledger Accounts will be conducted as soon as possible

after the receipt of the Bank Statements, and in no case later than twenty (20) working days after

receipt of the Bank Statement. A responsible Fiscal Affairs official designated by the Vice President for

Fiscal Affairs and independent of the cash receipting and disbursements functions will review, approve

and sign each Bank Reconciliation. A summary Bank Reconciliation Sheet must be submitted monthly

to the Vice President for Fiscal Affairs.

Any Journal Entry required in the balancing and reconciliation process must be made immediately, and

in no case later than twenty (20) days following receipt of the Bank Statement requiring the entry.

308.02 VOIDED CHECKS

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All voucher packages for *voided* checks will be marked “voided” and signed by the official authorizing

the voiding of the check. The check will be marked “voided” and filed with the canceled checks for that

month. IN NO CASE WILL A VOIDED CHECK BE DESTROYED.

The Vice President for Fiscal Affairs through his or her Director of Financial Operations will ensure that

all personnel who are responsible for preparing any University checks will be instructed in the proper

procedures for voiding checks.

308.03 “STOP PAYMENT” ON CHECKS

Request for “Stop Payment” action on any University Operating Account Checks and University Payroll Checks

must be made in writing. The request must include the name of the payee, the amount of the check, the date (if

known) and the reason for the “Stop Payment” request. The Assistant Director of Financial Operations or the Payroll

Supervisor (in the case of a Payroll Check) must complete the Request for Stop Payment form and submit it to the

Director of Financial Operations for approval. The Director, or his or her designee, will telephone the appropriate

bank to facilitate the Stop Payment Order and will return the form to the appropriate department/unit official in order

that the check may be re-issued or other appropriate action taken.

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400 CASH RECEIPTS

401 GENERAL

The central point for the receipt of any cash (including coins, currency, checks, money orders, charge card authorizations and any other forms of legal tender) is the Cashier's Office of the Department of

Financial Operations. The Cashier reports to the Director, Financial Operations, who reports to the Vice

President for Fiscal Affairs.

401.01 SCOPE OF CASH RECEIPTS PROCEDURES

This procedure is applicable to all cash receipts for Albany State University by Departments, Organizational Units and Administrative Offices.

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A. A cash receipt may be one of many forms, among which are coin, currency. All of these will be referred

to as cash throughout this Manual.

A. The transmittal of cash to the Cashier constitutes a deposit. Any authorized person, office or other

entity should deposit cash receipts daily at the Cashier's Office.

A. Albany State University requires that proper controls and safeguards be established at all administrative

levels to ensure that cash receipts are protected while in the custody of University personnel.

A. Unless approved by the Vice President for Fiscal Affairs, no Department/Unit or individual employee,

other than the Cashier's Office, shall engage in the collection of cash receipts. Instead individuals or businesses

owing money to the University will be instructed to forward any payments (along with a copy of the University's bill,

invoice, letter, and other relevant material) to the Cashier's Office.

A. In cases where prior approval has been given (Bookstore, Laundry, and the like), collections of any

cash receipts will be according to instruction and procedures of this Manual and as further detailed by the Director of

Financial Operations or his or her designee.

A. Questions concerning procedures relating to cash receipts should be directed to the Office of the

Director of Financial Operations, Ext. 4610.

401.02 CASH TRANSMITTALS

All cash receipts must be deposited with the Cashier's Office.

Consistent with internal security, only a

few employees of Albany State University should be involved in receiving or handling cash receipts

before or after deposit.

A. Except for the Vice President for Fiscal Affairs or his official designee, no Department/Unit or

Administrative Office has authority to open an account or deposit University funds in a commercial bank, savings and

loan association or any other financial organization or institution. In any such case all accounts with financial

organizations or institutions will be according to policies of the Board of Regents, with full knowledge of the Board's

Treasurer and Vice Chancellor for Fiscal Affairs.

A. All Departments/Units must use a Receipt Transmittal (Exhibit 401.0203-1) to accompany and record

the transfer (deposit) of cash receipts to the Cashier's Office. From this form the Cashier's Office will initiate the

accounting entries to record each deposit transaction and issue a computer generated Cashier's Receipt (Exhibit

401.0203-2) for each Receipt Transmittal. The Cashier's Receipt should be compared with the Department's/Unit's

copy of the Receipt Transmittal form to verify the accuracy of the deposit.

A. Cash transmittals (deposits) should be personally delivered (not mailed) to the Cashier's office. The

following should be included:

Cash;

Adding machine tape of checks, in check sequence, corresponding with the checks total shown on the Receipt Transmittal form. (Checks should be endorsed to correspond to the "Payee" on the face of the check. Endorsements should include "For Deposit Only," with the transmitting Department/Unit and Albany State University identified in the endorsement.); and Completed Receipt Transmittal form.

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A. Receipt Transmittal forms should be prepared and signed by the person collecting the cash. The

Manager or Supervisor of the Cashier or Bookkeeper collecting the cash should reconcile or review the reconciliation

of the cash receipts transactions as recorded on the Receipt Transmittal form and sign the form to indicate

verification of the amount of the deposit.

A. After Cashier's Receipts have been issued, all supporting documentation (Receipts Transmittal,

memoranda, tapes and the like) will be filed, by date and receipt number.

Departments/Units will file, by date, all transmittals and copies of supporting documentation within department files.

402 CASH SECURITY AND TRANSFER

402.01 DIVISION OF RESPONSIBILITY

Division of duties is an essential element in the proper control and security of cash. In

Departments/Units having several employees, different persons should be designated and assigned

responsibility for receipt of cash, cash deposits and records maintenance of cash transactions so that a

single person does not have control over the entire process.

This concept should be practiced in the campus Departments/Units as well as the Office of the

Cashiers, also. For instance, the functions of collecting specific deposits, *i.e.*, housing deposits,

reconciling that area's deposits and the preparing of the Receipt Transmittal should be assigned to different employees.

402.02 EMPLOYEE TRAINING AND INSTRUCTION

Employees who are responsible for receiving or handling cash, or for recording transactions involving

cash, must be instructed precisely as to their duties and responsibilities. It is important that thorough

training and instruction be provided each such employee and that policies and procedures be followed

closely, so that established controls and security measures will effectively protect both the University

and the employee.

402.03 PHYSICAL CONTROL OF CASH

402.0301 Proper handling, physical security and adequate records should be stressed with each employee having access to or responsibility for cash or any other University assets (merchandise, supplies, equipment,

etc.). Departments/Units receiving cash for Albany State University are responsible for maintaining

security of cash and other property.

402.0302 The following general guidelines are important and should be known and followed by each employee:

Only authorized persons are permitted in areas where cash is handled;

Doors should always be locked at entrances to areas where cash is handled;

Vault or safe doors should be kept closed (not necessarily locked unless unattended) during working hours and should be locked at all other times;

Cash registers, drawers, boxes, etc. should not be left unattended unless they are locked;

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Employees counting or handling large sums of money should be concealed from the general public;

Cash must never be left unattended on desk tops; and

Cashiers must endorse checks immediately, or when possible, "For Deposit Only, Albany State University."

402.04 TRANSFER OF CASH

402.0401 Departments/Units receiving cash for Albany State University are responsible for maintaining the same degree of security when transferring cash from one location to another as is required when cash is

handled by employees at their regular places of employment.

402.0402 The following general guidelines are imperative and must be followed by each employee:

Currency and coins should never be sent through on-campus or interoffice mail. Cash should be delivered personally or by campus police or security guards;

When very large sums (registration payment deposits, athletic events receipts, concert receipts, book sales, etc.) are being handled, security of cash must be at a maximum. It may be necessary or desirable to obtain security guards during such periods. Any Department/Unit transferring cash to other offices or banks must provide adequate security. Depending upon the circumstances, it may use police escort, security guards, or at least two employees to ensure effective security.

Bank transfer bags should be kept locked and opened only by authorized persons. Bags containing

cash should never be left open in vaults or safes.

403 CASH RECEIPTS PROCESSING

403.01 GENERAL

403.0101 The way in which cash is received and the method by which it is processed vary among University units authorized to receive payments. However, all units receiving cash should make daily deposits (whenever activity occurs) and maintain records as required in Section 401 of this Manual.

403.0102 When a Departments/Unit is authorized to receive payments and does not have a cash register system, it must use pre-numbered receipts and total each day's receipts. If more than one employee is involved,

it must prepare a daily summary of each employee's transactions, along with a Receipt Transmittal form

for total cash transactions. The total must agree with the employees' receipt totals which, along with

adding machine tapes for each batch of checks, must be delivered to the Cashier's Office for deposit.

403.0103 When a Department/Unit receives cash by mail, it must prepare within twenty-four (24) hours of receipt and send (deliver) to the Cashier's Office a transmittal letter showing the date, payer, amount and nature

of the payment. It should use its file copy of the transmittal letter to verify the accuracy of the receipt

issued by the Cashier's Office for this payment, and to reconcile recording of the transaction.

403.0104 If, when balancing daily cash receipts, any overage or shortage occurs, it should be recorded in an over/short account and the amount of overage or shortage shown on the Receipt Transmittal form.

Recurring differences will receive the scrutiny of the Director of Financial Operations. Such overages

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and shortages are the responsibility of the Department/Unit Head who should be aware of all balancing

items.

403.0105 Pre-numbered Receipt Books for use by authorized Departments/Units will be provided by the Office of Financial Operations, Cashier's Division. A Receipt Book Log will be maintained to record the issue of

Receipt Books, including signatures of recipient, date issued, receipt numbers, number of books issued

and any other information that will attest to the complete record of issue or turn-in. The Log will be

reviewed and updated at least semi-annually by the Director, Financial Operations. Receipt books must

be issued in sequence and used by the Departments/Units in sequence. Duplicate sets of books should not be issued.

403.02 CASH SALES AND OVER-THE-COUNTER RECEIPTS

403.0201 When a Department/Unit uses a cash register to record cash receipts, the daily cash register tapes with totals must agree with the amount deposited as shown on the Receipt Transmittal form (Deposit

Slip). The daily record of transactions should be represented by a file of the cash register tapes and

copies of Receipt Transmittals (Deposit Slips).

403.0202 Any employee receiving cash must make a cash register (computer) recording or prepare a prenumbered

receipt. In very unusual cases where neither is available and when it is not feasible to get the payer to make the payment to the Cashier's Office or whenever cash registers or computers are temporarily inoperable, the employee must prepare a "hand receipt" which should include, as a minimum, the date, payer, amount and nature of the payment.

403.0203 Each day, employees handling cash receipts must balance cash collected and cash register totals or totals of receipt forms prepared.

403.0204 Employees handling cash should not perform any accounts receivable functions.

403.0205 Employees must retain copies of cash receipt forms in numbered sequence, including the original and copies of any "voided" forms.

403.03 CASH PAYMENTS BY INDIVIDUALS - CASHIER'S OFFICE

403.0301 At the Cashier's Office, individuals regularly make payments to Albany State University for miscellaneous charges levied by the University. Examples include parking registration and fines, diploma sales and accounts receivable.

403.0302 Individuals can make payment in person at the Cashier's Office or, if accompanied by appropriate billing, notice, statement of charges, etc., by U.S. Mail or Campus Mail. In either case a Cashier's Office

computerized, numbered receipt is issued for each payment. See Exhibit 401.0203-2 for a sample copy

of such a receipt.

403.0303 When a payment is presented in person the customer receives his or her copy of the Cashier's Office

Receipt.

403.0304 When a payment is received by mail, the Cashier's Office processes the payment and issues a receipt.

No receipt is sent to the payer when payment is by a check received through the mail. The payer's

canceled check serves as a receipt.

404 RETURNED CHECKS

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The returned check procedure is applicable to any check issued in favor of Albany State University and

returned unpaid by the bank on which it was drawn.

University policy requires a diligent and continuing effort to collect unpaid checks.

404.01 PROCEDURE

404.0101 Depository Bank

The depository bank of the University's Operating Funds Account returns to the Financial Operations

Department all unpaid checks and charges the amount of unpaid check(s) to the Operating Funds Account.

404.0102 Financial Operations Department

The Financial Operations Department will process transactions in the Accounting system to record

such unpaid checks and any subsequent entries related to the repayment of unpaid checks and all

other related charges. In cases where the unpaid checks are never repaid, the Financial Operations

Department will make necessary accounting entries reflecting this fact.

404.0103 Control of Unpaid Checks

The Director of Financial Operations and, to the extent necessary in collections procedures, the

Administrative Assistant in that division—who has primary responsibility in notifying payer, collecting and

recording amounts to cover unpaid checks—retain physical control of all unpaid checks.

The Financial Operations Office prepares and maintains control logs of unpaid checks. Entries to the

control logs record the following information:

Name of the drawer of the check,

Name of the Payee and/or the endorser,

Amount of the check,

Date of the check,

Bank on which check is drawn, and

Reason check was returned unpaid.

Returned Checks (NSF) on hand will be reviewed monthly and reconciled to both the subsidiary ledger

listing (log) and the General Ledger listing.

404.0104 Collection of Unpaid Checks

The Administrative Assistant to the Vice President for Fiscal Affairs is responsible for collecting unpaid

checks. Upon receiving a listing and/or the unpaid checks from the Director of Financial Operations, the

Administrative Assistant to the Vice President for Fiscal Affairs will notify the drawer of the unpaid check by Certified Letter and give notification of the following information:

A check being returned unpaid;
Date and amount of check;
Reason given by bank for returning the check unpaid;

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Request for payment in cash, cashier's check or money order due immediately by mail or in person

at the Cashier's Office;

The amount(s) of "returned check charge" assessed, the amount of "late registration fee" assessed

whenever the check is for the registration fees (tuition, etc.) of a Student, and any other approved collections costs to be paid by the drawer; and A deadline set for payment to be made.

404.0105 Payment of Returned Checks

When payment of the full amount of a Returned Check plus all fees and charges assessed to the drawer

has been made, the Cashier's Office will receipt and deposit these funds in accordance with the procedures of the Board of Regents.

404.0106 Returned Checks of Employees

Whenever an employee of Albany State University is the drawer of a returned unpaid check and fails to

make payments according to procedures outlined in Section 404.0104, the Director of Financial

Operations will implement transactions in the Payroll System to effect one or more payroll deductions to

recover all costs.

405 CASHIER'S DAILY BALANCING AND DEPOSITS

At the end of any day or part of a day during which a Cashier in the Cashier's Office has removed

assigned cash from the vault and/or received any payments or transacted any business, a Cashier must

count the assigned cash, balance it to the receipts analysis, and prepare a bank deposit according to

the following procedures:

A Cashier must prepare, by computer, a Cashier's Daily Report of all transactions. See Exhibit 405-1 for a Sample printout;

A Cashier must count and record the amount of all cash in the Cashier's drawer on the Report of Cash Drawer form. See Exhibit 405-2 for a Sample of this form;

A Cashier must ensure that the beginning amount of cash equals the ending amount of cash after the exact amount of the day's receipts has been set aside for deposit to the University's Operating Bank Account; and A Cashier must prepare a Bank Deposit Ticket to accompany the cash for deposit for the day's receipts. See Exhibit 405-3 for a Sample of this Deposit Ticket.

406 PETTY CASH FUNDS

Upon the approval of the Vice President for Fiscal Affairs, appropriate funds balance(s) that have been

receipted and deposited may be set aside for the purpose of making change or paying small obligations

for which the issuance of a formal voucher and check would be impractical. Such funds, in the amount

approved by the Vice President for Fiscal Affairs, will be known as Petty Cash Fund(s).

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Disbursements from such an imprest system are made from time to time as needed and in accordance

with provisions of this Manual. At the time of each disbursement, a receipt or petty cash voucher will be

obtained and/or prepared. At certain appropriate intervals, or when the Petty Cash Fund is depleted, a

voucher with substantiated receipts, petty cash vouchers or other valid documents establishing the use,

purpose and nature of the expenditure will be prepared to replenish the Petty Cash Fund by processing

a Petty Cash Request for Purchase (Voucher) and a check drawn on the appropriate University account,

in accordance with the procedures of this Manual. The Petty Cash custodian will ensure that authorized

approvals are included for all documentation.

Documentation for all disbursements from the Petty Cash Fund will be sufficient and complete in accordance with Section 910 of this manual.

Custodians of Petty Cash funds will ensure that these funds are secured, accounted for, and balanced

daily in accordance with Section 400 of this Manual.

406.01 SURPRISE PETTY CASH COUNTS

At least twice each fiscal year, the Internal Auditor (or a University employee designated by the Vice

President for Fiscal Affairs and independent of the custodian of the fund, the cash receipting and posting

of the Petty Cash Fund and the processing of reimbursement vouchers) will conduct a surprise count

and audit of all Petty Cash Funds. The results of the findings will be reported to the President and the

Vice President for Fiscal Affairs along with any pertinent recommendations.

407 UNCOLLECTIBLE ACCOUNTS—WRITE OFF

No less frequently than annually the Director, Financial Operations will review, or cause to be reviewed,

all accounts receivable records to identify any accounts which may be written off in compliance with

Procedural Directive Number 17, of the Board of Regents Business Procedures Manual, Volume I,

Revised. Pending approval of the Vice President for Fiscal Affairs of the accounts to be written off, he or

she will proceed to complete the process in accordance with the above cited Procedural Directive.

408 FUNDS MANAGEMENT

408.01 BANKING

All depositories, where funds of the University are held in time deposits, will either give a depository

bond in some acceptable security company qualified to do business in Georgia, or, in lieu thereof, may

deposit with some other depository satisfactory to the Treasurer of the Board of Regents, securities of

the following classes, the current market value of which will be equal to or in excess of the amount of

the time deposits:

- (1) Direct obligations of the United States Government.
- (2) Obligations unconditionally guaranteed by the United States government.
- (3) Direct obligations of the State of Georgia.
- (4) Direct obligations of any political subdivision of the State of Georgia.
- (5) Georgia Municipal, County, or State of Georgia Authority Bonds acceptable to the Treasurer of

the Board of Regents. (BR Minutes, 1970-71, p. 691)

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The President of Albany State University will determine the bank, or banks where funds are deposited.

He or she will inform the Treasurer of the Board of Regents of the bank, or banks, where funds are

deposited. It will be the duty of the Treasurer of the Board to handle all details relative to the bank, or

banks, furnishing the required depository protection. (BR Minutes, 1949-50, p.251)

The Treasurer of the Board will appoint a person, or persons, at Albany State University with authority to

sign checks drawn on banks where funds of the respective institutions are deposited. Persons so

appointed will be authorized to sign any documents that may be required by the banks concerned. (BR

Minutes, 1952-53, p.365) The Vice President for Fiscal Affairs of Albany State University has been so

designated.

(BR Policy 705.01)

408.0101 Funds Deposited in Time Deposits

The Board of Regents has delegated to the University the authority to place funds in time deposits

("Cash in Banks — Time Deposits" and/or "Cash in Savings & Loans — Time Deposits"). To comply

with Board of Regents' requirements, the Vice President for Fiscal Affairs will ensure the following:

- A. That each account is insured and/or is properly collateralized, with such collateralization on record in the Office of the Treasurer of the Board of Regents;
 - B. That deposits are made only to banks and/or savings and loans institutions in the State of Georgia; and
 - C. That the term of placement of funds will normally be in short periods, but in no case more than twenty-four (24) months.
- When the source of funds placed in time deposits is Trust Funds, the period normally should be shortterm in anticipation of appropriate placement in longer term permanent type investments which produce not only income but growth.

Although the authority for "Investments" of any and all funds resides exclusively with the Treasurer of the

Board of Regents, such authority has been delegated to the University's Vice President for Fiscal

Affairs. This authority, in writing, must be on file in the Office of the Vice President for Fiscal Affairs.

(BR Business Procedures Manual — Vol. 1, Procedural Directive No. 21)

408.0102 Recording Interest Earned on N.O.W Accounts and Time Deposits

Interest earned from Cash in Banks, both Demand Deposits and Time Deposits, must be recorded in

the accounting records according to the guidelines provided below:

1. Interest earned on *CASH IN BANKS - DEMAND DEPOSITS* (invested in accounts known as Negotiable Orders of Withdrawal or N.O.W. accounts) is to be budgeted and receipted in Unexpended Plant Funds and, thus, used for Capital Outlay purposes.
2. Interest earned on *CASH IN BANKS - TIME DEPOSITS*, in most instances Certificates of Deposit (C.D.), is to be budgeted and receipted as interest earned in the fund group which provides the resource to purchase the certificate(s).

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More specifically, resources from Restricted Funds, Auxiliary Enterprises Funds, Loan Funds,

Endowment Funds, Unexpended Plant Funds, and Agency Funds — Student Activities, which are

invested in Time Deposits, will be recorded so as to appear on the Balance Sheet of the fund group

providing the resources as “Cash in Banks Time Deposits.”

Further, interest earned on such time deposits will be reflected in the fund group providing the resources

either as an “addition” or as “revenue.”

408.0103 Internal Control of Electronic (Wire) Transfers

To maintain adequate internal control whenever electronic (wire) transfers of funds are used, the following safeguards are to be followed:

A. Transactions affected by wire transfers-in are to be recognized by the issuance of a receipt and

thereby recorded into the accounting records by way of the Cash Receipts Sub-Systems. All such transactions are to be supported by either a validated deposit slip or a properly executed debit memo from the bank.

B. Wire transfers-out are to be supported by the issuance of a check when possible. The voucher package must contain complete verifiable objective evidence as is the case in all disbursing processes. The transaction will be properly recorded into the accounting records through the cash disbursing processes.

When the issuance of a check is not appropriate and it is deemed necessary to issue an order by telephone to the bank to initiate a wire transfer-out, the recording of the transaction by general journal will be supported by full and adequate documentation. C. The internal audit function will make periodic audits of all wire transfers-in and wire transfers-out. Scheduling of the reviews should be so arranged as to cause all such transactions for each fiscal year to be reviewed. The audit report addressing this subject is to be provided the President and the Vice President for Fiscal Affairs.

D. In the absence of the internal audit function the Vice President for Fiscal Affairs will ensure that,

as a part of the bank reconciliation function each month, a report is prepared listing all wire transfers-in and wire transfers-out. This report will contain complete information as provided by the documentation for each transaction. It will be provided to the President with a copy going to the Vice President for Fiscal Affairs. The bank reconciliation function must be performed by an employee who has no duties directly or indirectly related to receiving or disbursing of funds. (BR Business Procedures Manual — Vol. I, Procedural Directive No. 22)

408.02 INVESTMENTS

In acquiring, investing, reinvesting, exchanging, retaining, selling and managing property for the benefit

of another, such executor or trustee (Vice President for Fiscal Affairs) will exercise the judgment and

care under the circumstances then prevailing, which men of prudence, discretion and intelligence

exercise in the management of their own affairs, not in regard to speculation but in regard to the

permanent disposition of their funds, considering the probable income as well as the probable safety of

their capital. Within the limitations of the foregoing standard, such executor or trustee is authorized to

acquire and retain every kind of property, real, personal or mixed, and every kind of investment,

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specifically including but not by way of limitation, bonds, debentures, and other corporate obligations,

and stocks, preferred or common, which men of prudence, discretion and intelligence acquire or retain

for their own account, and within the limitations of the foregoing standard, such executor or trustee may

retain property properly acquired, without limitation as to time and without regard to its suitability for

original purchase. The terms "property" and "investment" as used herein will be deemed to mean and

include life insurance, endowment and annuity contracts issued by any insurer authorized to do business in the State of Georgia. (Ga. Laws 1973, P. 718)

BR Policy 705.02

408.0201 Insurance Coverage and Collateral Requirements

Insurance coverage on funds invested in savings and loan associations by Albany State University, a

unit of the University System, has been set by the Board of Regents at \$100,000 in any one savings

and loan association.

Should the University need to invest more than \$100,000 in any one savings and loan association, the

Vice President for Fiscal Affairs must require the association to provide collateral by depositing

acceptable securities with the Federal Home Loan Bank in Atlanta.
The value of these securities must

be equal to or in excess of the amount being secured. When requiring
such collateral, the savings and

loan association will be instructed by the University's Vice President
for Fiscal Affairs to advise the

Treasurer of the Board of Regents that collateral has been pledged and
the nature of such collateral.

Further, the University will advise the Treasurer of the Board of
Regents by letter when investments in

any one savings and loan association have exceeded \$100,000 and,
accordingly, that the amounts are

in process of being secured.

(BR Business Procedures Manual - Vol. 1, Procedural Directive No. 9)

408.0202 Investing in the Local Government Investment Pool

The Local Government Investment Pool (LGIP) is an investment
alternative managed by the Fiscal

Division of the Department of Administrative Services (DOAS) and is
available to Albany State University

as a unit of the University System. The pool provides rates comparable
to those of certificates of

deposit, but allows the University to withdraw funds after only a five-
workday minimum holding period.

A. Operating Procedures

1. Before any deposits may be accepted, the Vice President for Fiscal
Affairs must file a certified copy of
a resolution authorizing investment in the LGIP together with the
name(s) of the official(s) authorized to deposit and
withdraw funds. The resolution should include the bank name, account
title, and account number of a fixed account
through which deposits will be sent and withdrawals will be returned
by the LGIP. The resolution should be signed
by the President and the Vice President for Fiscal Affairs of Albany
State University and sent to the Senior Vice
Chancellor for Capital Resources for approval and forwarding to
DOAS. An example of a resolution is included in this
Manual as Exhibit 408.0201-1.

2. **Except when withdrawing an entire account balance, deposits or withdrawals must be in multiples of one thousand dollars (\$1,000). All deposits and withdrawals will be made by wire transfer between a designated bank and the LGIP. The University may designate only one bank account for transfers to and from the LGIP.**

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3. Each transaction is acknowledged by a control number which should be retained for use in case of a question on an account and to verify the monthly statement of the account.
4. Procedure for deposits in the LGIP.
 - a. The authorized University official will instruct the local bank to wire transfer the amount to be invested to the Fiscal Division of DOAS. (Detailed wire instructions are furnished by DOAS to the University upon receipt of the completed resolution.)
 - b. No later than 2:00 p.m. on the business day preceding the actual wire transfer, the authorized University official must notify the DOAS Fiscal Division by telephone (656-2168 or 1-800-222-6748) stating the date, amount and estimated term of deposit. Deposits must be for an estimated duration of at least five (5) work days.
 - c. The DOAS Fiscal Division will confirm receipt of deposits by mail to the authorized University official.
5. Procedures for withdrawals from the LGIP:
 - a. No later than 2:00 p.m. on the day preceding the desired withdrawal date, the authorized University official will notify the DOAS Fiscal Division by telephone (656-2168 or 1-800-222-6748) stating the date and amount of the withdrawal, the bank name and the account number at the local bank receiving the funds from the withdrawal.
 - b. The authorized University official will confirm the above information in writing to:
Fiscal Division, D.O.A.S.
State of Georgia
P. O. Box 38198
Capital Hill Station
Atlanta, Georgia 30334
Attn: LGIP
6. At the end of each calendar month, the net investment earnings will be calculated for credit to the account of each participating institution. The Director of the Fiscal Division of DOAS will mail each participant a monthly statement of account detailing deposit and withdrawal transactions by control number and earnings for the month.

7. All records regarding individual investment transactions will be available for public inspection during normal business hours. The DOAS Fiscal Division is responsible for maintaining all collateral for the pool.

B. Accounting Procedures

Each transaction with the LGIP must be recorded in the accounting records of the University.

Transactions should be recorded as follows:

1. Transfer of funds to the LGIP

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Dr. 11920 - Cash in Local Government Investment Pool

Cr. 11800 - Cash in Bank-Demand Deposits

2. Withdrawal of funds from LGIP **Dr.** 11800 - Cash in Bank-Demand Deposits **Cr.** 11920 - Cash in Local Government Investment Pool
Interest earned on invested funds should be recorded in the same manner as that for a NOW account (See Section 408.0102 of this Manual).

(BR Business Procedures Manual, Vol. 1, Procedural Directive No. 23)

408.03 LOAN FUNDS FOR MATCHING PURPOSES

Albany State University as a unit of the University System is authorized to use money in student loan

funds of the University for the purpose of matching funds available under federal loan programs for loans

to students when terms of the gift to the University permit such use for matching purposes. (BR Minutes, 1958-59, pp. 209-10)

(BR Policy 705.03)

408.04 SALE OF SECURITIES

The Treasurer of the Regents, with the approval of the Chairman or Vice Chairman of the Board, is

authorized and empowered to sell and assign, or request payment or reissue of any and all United

States securities of any description registered on the books of the Treasury Department, or registered

securities with respect to which the Treasury Department acts as the transfer agency, now or hereafter

held by Regents of the University System of Georgia as executor, administrator, guardian, trustee, or in any fiduciary capacity whatsoever, and also to sell and assign any such securities which the Board of Regents is, or will be, authorized or empowered to sell and assign as attorney for, or other representative of, the owner thereof. The Treasurer of the Board, with the approval of the Chairman or Vice Chairman, is authorized and empowered to receive payment for any matured security and to reinvest the principal or the sum total in a like or similar security. The Treasurer will make reports of such transactions to the Board as information.

(BR Policy 705.04)

408.05 ACCEPTANCE OF GIFTS, BEQUESTS, AGREEMENTS AND DECLARATIONS OF TRUSTS

The Board of Regents has delegated to the President of Albany State University the authority to accept gifts, bequests, agreements and declarations of trusts at a dollar value of \$100,000 or less. The President and/or the Vice President for Fiscal Affairs are/is authorized to execute, on behalf of the Board of Regents, any documents necessary to provide proper fiscal management of such gifts. The Vice President for Fiscal Affairs will prepare and submit, through the President, to the Chancellor of the Board of Regents an annual summary report of each gift, bequest, agreement and/or declaration of trust with an initial value of \$10,000 or more.²

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409 HANDLING THE SALE OF ATHLETIC AND OTHER FUNCTION TICKETS

The Athletic Department, in the handling and the sale of tickets to athletic events, and other Departments/Units, in the handling and the sale of tickets to concerts and other programs, will follow the provisions of this Manual (Section 400) pertaining to receipting, accounting for and the

security of cash. All tickets should be numbered and accounted for just as if they were cash. The Office of Financial Operations will provide appropriate forms to facilitate the audit and accounting for

such receipts and tickets, such as the Individual Teller Ticket Report for athletics and the Athletic Department Audit of Tickets. Similar forms are available for other types of events sponsored by other Departments/Units.

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500 EXPENDITURE OF FUNDS

501 PERSONAL SERVICES

501.01 The expenditure of any funds under the jurisdiction of Albany State University to obtain personal services for, or on behalf of, any Department/Unit of the University, by means of any form

of employer/ employee relationship, must be accomplished by means of personnel payroll procedures according to the provisions of Section 800, Human Resources Management, of this Manual.

501.02 The expenditure of any funds under the jurisdiction of Albany State University for the procurement of any form of contracted personal services (consultant, architectural, engineering, legal, etc.) must be accomplished according to the procurement procedures of Section 900, LOGISTICAL SERVICES, of this Manual.

502 MATERIALS, SERVICES AND EQUIPMENT

The expenditure of funds under the jurisdiction of Albany State University for the procurement of all

materials, services and equipment must be accomplished according to the procurement procedures

of Section 900, LOGISTICAL SERVICES, of this Manual.

503 TRAVEL

In requiring certain of its employees to travel in the performance of their duties, Albany State

University expects to reimburse them for reasonable and necessary expenses as may be incurred

while traveling away from their official headquarters and places of residence. In cooperation with

regulations promulgated by the State Auditor's Office, the Office of Planning and Budget and the

Board of Regents, Albany State University has adopted the following regulations regarding travel of

employees on official business of the University System. (BR Business Procedures Manual - Vol. I,

Procedural Directive No. 7)

503.01 TRAVEL AUTHORIZATION

Each employee required to travel in the performance of his or her duties and entitled to reimbursement for expenses incurred must have authorization from his or her Department/Unit Head

and other designated official for the performance of travel. Approval may be in a standing authorization, for individuals required to travel on a regular or continual basis, a specific authorization for those individuals required to make occasional trips, or a specific authorization for

all out-of-state trips. Specific authorization shall be in such form as to indicate the itinerary,

estimate of the cost of travel, mode of transportation, and the purpose of travel. For the purpose of

liability insurance coverage, an employee must note all points/destinations in the planned trip and

file the request early enough for approval to be received from the Office of Budgets before the date

that the requested trip is to take place. The employee must attach a copy to the Travel Expense Statement. For these regulations, 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. The employee must file an official **Request for Absence** form to obtain authorization to travel. (See Exhibit 503-08-2.)

503.0101 Travel Out-of-State

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Travel out-of-state to a specific destination/point by personal vehicle requires an additional authorization. The employee must complete the reverse side of the **Request for Absence** form and forward it to the Vice President for Fiscal Affairs early enough to receive approval before the date the trip is to take place. Reimbursements for mileage will be at the cost of an airline ticket (tourist rate) or mileage driven, whichever is less.

503.0102 Travel Under Standing Authorization

All travel under Standing Authorization must be requested through the Department/Unit Head, and

approved by the Vice President for Academic Affairs or other applicable Vice President. The employee must submit reimbursement statements **weekly**, with a copy of the approved letter from the Office of the Academic Dean attached to each request.

503.02 REIMBURSEMENT

Employees must submit all requests for travel reimbursement in a timely manner, for consideration for reimbursement. Travel Expense Statements that are outstanding beyond **thirty** (30) days will be critically reviewed, and a reason for late filing **must** be justified **before** reimbursement procedures

begin. Board of Regents' regulation is that "claims should be paid at least semi-monthly and more frequently if practicable."

503.03 SUBSISTENCE

Employees must submit reimbursement claims for subsistence (meals and lodging) on travel expense statements by day, location, and amount for each meal and lodging claimed. An employee taking annual leave while away from headquarters on official business is not entitled to subsistence during leave. With certain exceptions, reimbursement for subsistence within a 30-mile radius of an employee's headquarters or residence is **not** allowable.

503.0301 Meals

Employees will be reimbursed for meals at approved rates within certain limits from Albany.

Expenses for three meals at the approved rate per day, including tax and tips, are allowed.

Reimbursement of claims for fewer than three meals per day will be prorated following the approved

schedule for partial days. Reimbursement for tips will be allowed according to the Attorney General's Opinion 70-28, dated March 6, 1970; tips should be included in the price of each meal.

503.030101 Meals Expenses Associated with Overnight Travel

Employees are entitled to reimbursement for breakfast expenses if they depart for an **overnight** trip

prior to 6:30 a.m. and for dinner expenses if they return later than 7:30 p.m. The noon meal is not reimbursable, unless overnight lodging is incurred, departure is **before 10:30 a.m.**, and/or the

employee is away from headquarters on the work assignment for more than 13 hours. Subject to circumstances that create a reasonable basis for reimbursement, meals may be reimbursed for the

day of departure and return from overnight trips subject to departure and arrival time restrictions.

Receipts for meals are not required.

Reimbursement is limited to the cost of meals for the individual employee.

Reimbursement may be

allowed for meals within the 30-mile radius, provided the travel destination is more than 30 miles.

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Employees traveling outside of Georgia should make every effort to remain within the meal limits.

However, employees may experience some high cost areas which cause them to exceed the authorized meal expenses. Meal expenses associated with travel to high cost areas outside of

Georgia require an additional approval. A written request, indicating the destination, must be

forwarded to the Travel Accountant. Meal allowances will be determined according to the Federal

per diem rates. The Federal per diem listing will be used as a guide for appropriate meal expenses

for various cities throughout the United States. High cost areas will be determined by the Federal per diem guide.

503.030102 Meal Expenses Not Associated With Overnight Travel

Employees required to travel in the performance of his or her duties and do not stay overnight may

be reimbursed for certain meal expenses under the following situations:

1. The meal is an integral part of a scheduled, official meeting;
2. The meeting is with persons outside the employee's department and it continues during the meal. Employees cannot be reimbursed for meal expenses if they leave the premises of the meeting site;
3. The meal is a scheduled part of an intra departmental meeting or training session and must be approved by the PRESIDENT or VICE PRESIDENT FOR FISCAL AFFAIRS, prior to the event. The

meeting must equal or exceed six (6) hours in length and is held more than thirty (30) miles from the employee's office. The meeting or training session must continue during lunch and the employee does not leave the premises of the meeting site. Reimbursement for such expenses must be documented by a copy of the formal written agenda.

THE FOLLOWING STIPULATIONS ARE MANDATORY:

- a. It specifically allows for meal reimbursement for institutional meetings.
- b. It has a requirement for the meeting to be held more than 30 miles from the employee's office.
- c. The meeting or training session must equal or exceed six (6) hours in length and be APPROVED BY THE PRESIDENT.
- d. There must be a formal written agenda for the meeting or training session.
- e. The written agenda of the meeting or training session must be attached as supporting document(s) to the travel reimbursement package.
4. Employees may be reimbursed for noon meals that are part of a required registration fee; and
5. Employees who are more than 30 miles away from headquarters on a work assignment and are away for more than 13 hours may be reimbursed for meals, even if there is no overnight lodging. In this situation, the noon meal is reimbursable. In addition, employees who depart prior to 6:30 a.m. are entitled to reimbursement for breakfast expenses, and employees who return later than 7:30 p.m. are entitled to dinner expenses.

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Employees who are reimbursed for any of these circumstances are still expected to remain within

the authorized meal limits. Expenses which exceed the authorized amounts must be explained on

the travel expense statement and must have prior approval. Travel expense statements that exceed

the authorized meal limits will be critically reviewed by the person who is responsible for approving

travel expenses, to determine whether the higher costs are justified and allowable. Higher cost areas will be determined by the FEDERAL PER DIEM LISTING.

503.030103 Meal Expenses Incurred While Taking Leave

Employees who take annual or other official leave while on official travel status may not be reimbursed for meal expenses incurred during the period of leave.

503.0302 Lodging

Reimbursement for all lodging claims must be documented by itemized original receipts. It is expected that reservations will be made in advance whenever practicable, that minimum rate accommodations available will be used, that "deluxe" hotels and motels will be avoided, and that commercial rates will be obtained whenever possible. Many hotels and motels grant commercial rates upon request to State employees who show identification. A list of those hotels and motels that provide such rates can be secured from the Director of Logistical Services. If an employee stays at a higher cost motel than where a meeting is held, or in a location where more than one hotel is available to the meeting site, he or she must explain and justify charges exceeding reasonable rates.

It should be noted that Act. No. 621, passed during the 1987 legislative session, provides that

Georgia State or local government officials or employees traveling on official business should not be

charged county or municipal excise tax on lodging. This optional excise tax is normally 3%, but

can be as much as 6% in some locations. Form HMTAX 1, State of Georgia, Exemption of the

Local Hotel/Motel Excise Tax (Exhibit 503.08-4), is available in the Office of the Travel Accountant

in Fiscal Affairs. Employees are required to submit a copy of the tax exempt form when registering

at a hotel or motel. It is the employee's responsibility to secure this exemption because

reimbursement for taxes may be denied by the State Auditor or the Office of The Vice President for

Fiscal Affairs.

When a room is shared with other State employees on travel status, reimbursement will be calculated, if practical, on a pro rata share of total cost. A State employee on travel status, if accompanied by someone who is not on State employee travel status, would be entitled to reimbursement at a single room rate.

Lodging expense cannot be paid other than for overnight hotel/motel accommodations required by

the nature or duration of the official travel - not for the convenience of the employee (for changing clothes, as a headquarters, etc.).

503.030201 Authorization for Lodging within the Thirty (30) Miles Radius

On occasion, the University officially sponsors conferences, trade shows and other functions which require personnel to work at the event. In many cases, the University employees planning and coordinating the event reside or work less than the thirty (30) miles from the scheduled meeting site. The University President is authorized to approve overnight travel for such individuals that are coordinating University-sponsored events, provided the affected employees are required to begin

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work within nine (9) hours of completing the previous day's activities. In addition to mileage,

affected employees may be reimbursed for meals and lodging in accordance with the provisions of the

Travel Regulations included in this Manual.

The University is required to keep records of all persons authorized for travel status under this

provision. Such records will be maintained in a central file in the Office of the Travel Accountant in

Fiscal Affairs, and must include the names of all persons approved for travel under this provision, the

dates of the event, the purpose of the event, the responsibilities of the individuals approved for this

travel status and the written and signed authorization of the University President. Authorization for such travel must be accomplished in advance of the scheduled event.

This provision applies only to conference and other University-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.

503.04 TRANSPORTATION

503.0401 Vehicles

Reimbursement for transportation within the State will be for use of personally owned (motorcycles

excluded), state and rental vehicles. Reimbursement for out-of-State transportation will be by common carrier, unless specific authorization is received **prior** to the trip for use of a personally owned vehicle. It is expected that such authorization will be granted only under conditions where travel by common carrier would be more expensive or less advantageous to the University.

Reimbursement for transportation expenses incurred by use of personally owned vehicles will be at

the rate per mile, as provided by law, for actual miles traveled in the performance of official duties.

503.040101 Initial Point of Departure and Shared Travel

The initial point of departure during an employee's normal work week shall be the individual's residence or headquarters, whichever is nearer the destination point. The initial point of departure on weekends or holidays, however, should be the individual's actual point of departure.

Reimbursement will not be allowed for expenses other than those incurred by the employee in travel

status; payments to friends or other individuals will not be allowed. Employees **must** travel together

to the same destination in one (1) vehicle.

503.040102 Odometer Readings

Actual odometer readings must be reported; however, personal mileage will be excluded in determining the mileage for which reimbursement may be made. Claims exceeding mileage computed by the most direct route from the point of departure to the destination (due to field trips, picking up passengers, securing meals at a cheaper place, etc.) must be explained on the Travel Expense Statement.

503.040103 Toll and Parking Expenses

The authorized mileage rate is to include the normal expenses incurred in the operation of a personal vehicle. In addition, toll and parking expenses will be paid for official travel in personal or

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State vehicles. (Low cost, long-term parking should be used.) A receipt must be provided for reimbursement.

503.040104 Use of Commercially Leased or Rental Vehicles

Special authorization must be provided for use of commercially leased vehicles. A letter requesting

use of a commercially leased vehicle should be addressed to the Vice President for Fiscal Affairs,

setting forth the justifications for such request. Commercially leased rental vehicles should be

obtained from the State contracted rental agency, according to the conditions of the State contract.

Employees will be reimbursed for costs associated with official use of such vehicles. Rental will not be authorized for transportation in the execution of official duties routinely involving high volume travel for which transportation by personally owned or University owned vehicles has been previously authorized.

503.0402 Common Carrier

Transportation by common carrier will be by scheduled plane, bus or rail. Effective September 1,

1991, a Statewide Contract was issued for the purchase of Airline Tickets. (**See Section 503.07 of**

this Manual for Contract Information.) Reimbursement will be made upon presentation of the

original stubs, receipts, or other documentary evidence of expenditure. According to law (1987 S.B.73, Act 1369), officials or employees traveling by commercial air carrier will not be reimbursed for that portion of first class air fare that exceeds the amount of the next 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 the 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.

503.0403 Limousine or Taxi Service

Limousine or taxi service will be reimbursed between the employee's departure point and the

common carrier's departure point, between the common carrier's arrival point and the employee's

lodging or meeting place, if at different locations. An employee is expected to use limousine

service when it is available and when arrival or departure occurs during daylight hours.

Receipts are

necessary for such items and of transportation and a point-to-point explanation is required for each

item reimbursed. Baggage handling services (portage) may be reimbursed when incurred in

moving luggage into or out of lodging places and common carriers. The cost for the service must be

reasonable and justified on the expense report form.

503.0404 Purchase of Fuel for State Vehicles

Employees traveling in state vehicles must purchase fuel at State owned facilities, when feasible.

All such purchases must be made with a State credit card.

503.0405 Transportation Shared

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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 mileage record

section of the expense statement the name of the person with whom they rode and the dates of the

trips. Those using State owned aircraft should also indicate such as a mode of transportation.

503.0406 Private Aircraft

Reimbursement for the use of private aircraft will be at the rate per mile as provided by law for automobiles for the most direct route from the employee's residence or headquarters to the destination point(s), whichever is nearer.

503.05 MISCELLANEOUS EXPENSE

503.0501 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 bank cleared check, showing payment. Any part of a registration fee applicable to meals must

be reported as meal expense and not as a registration fee, if the costs can be separately identified.

503.0502 Telephone and Telegraph Expense

Expenses for official telephone and telegraph messages that must be paid for by the employee are

allowed. Reimbursement claims shall indicate the location from which made, the person contacted,

and number called.

503.0503 Other Expense Items

Expenses for stationery, supplies, and stenographic or duplicating services may be allowable, if

reasonable. Any such claims should be accompanied by a written explanation and invoice. Claims

for laundry, valet service, theater, entertainment, and alcoholic beverages will not be reimbursed.

503.06 STATE AUDITOR'S COMMENT

The State Auditor has issued the following statement, which is applicable to all employees authorized to travel for the University:

Obtaining funds by padding of expense accounts is a misappropriation of public funds.

Department/Unit Heads and persons responsible for certifying claims for reimbursements, must

diligently assess submitted expense accounts for reasonableness and accuracy, as to expenses

actually incurred in the interest of the State. Every State employee on travel status should consider

seriously the wording of the statement that he or she signs in submitting claims for reimbursement:

I do solemnly swear, under criminal penalty of a felony for false statements subject to punishment by not less than one year nor more than twenty years of penal service, that the above statements are true and I have incurred the described expenses and the State use mileage in the discharge of my official duties for the State and have not been reimbursed and have not filed nor will I file for reimbursement from any other sources, for paid expenses.

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503.07 STATEWIDE CONTRACT INFORMATION

Effective September 1, 1991, a Statewide Contract was issued for the purchase of Airline Tickets.

When traveling on official State business between the listed city-pairs, State employees must use

this contract. The airlines or travel agencies may ask for proof that the traveler is a State employee

traveling on official State business. A University (State) ID card should be sufficient proof for

identifying the traveler as a State employee, and the travel authorization form used by the University

may be used for proof that the employee is traveling on official State business.

Ticket Prices - The prices listed on the City-Pair Pricing Sheets are one-way prices between the

city-pair listed. The round trip price will be twice the listed price. The prices shown on the City-Pair

listing are also valid when traveling from the city of destination to the headquarters.

Purchase of Tickets - Employees may purchase tickets directly from the airlines by using the

corporate charge card or other means of direct payment. They may also purchase, through travel

agencies, tickets at the listed prices. These prices will be listed with the travel agencies and will be

identifiable by the code **YCAGA**. Tickets purchased through the travel agencies must be according

to the particular travel agency policies concerning billing procedures.

Restrictions - There are **no** restrictions on tickets purchased under this contract. Employees may

purchase tickets right up to flight time, if space is available. Ticket costs are fully refundable, should the need for travel be canceled.

Lower Prices - Airlines may frequently offer special fares lower than those in the contract. The

traveler may take advantage of these special fares, provided, however, **THAT THE CONTRACT**

AIRLINE IS OFFERED AN OPPORTUNITY TO MEET THIS SPECIAL FARE AND PROVIDED THE

TRAVELER IS WILLING TO COMPLY WITH ALL RESTRICTIONS PLACED ON THESE SPECIAL FARES.

503.08 MISCELLANEOUS INFORMATION

Included as Exhibits Numbers 503.08-1, 503.08-2, 503.08-3 and 503.08-4 are completed samples of

copies of a Checklist for Completing the Travel Expense Statement, a Request for Absence, a

Travel Expense Statement, and a State of Georgia Exemption of the Local Hotel/Motel Excise Tax

Form. Employees must use these samples where applicable. The **Checklist for Completing the Travel Expense Statement** should be helpful; however, if there are still questions, doubts or comments, employees are free to contact the **Office of the Vice President for Fiscal Affairs**.

Forms for travel reimbursement shall be the standard form approved for use in the Units of the University

System. Employees must complete the Request for Absence form and the Travel Expense Statement form as indicated in the samples shown as Exhibit Numbers 503.08-2 and 503.08-3.

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600 GRANTS AND CONTRACTS (SPONSORED PROGRAMS)

601 POLICY

601.01 ACCEPTANCE OF GRANTS, CONTRACTS AND OTHER AGREEMENTS

It is the policy of Albany State University to solicit and accept sponsored support of research, institutes, special investigations, equipment or facilities acquisition, training, demonstrations and other projects or activities closely related to the University's mission, normal programs, and

approved objectives of the teaching, research and public service functions of the University. This

policy ensures the endorsement and support of acceptable proposals prepared by individual (or

groups of) Faculty and/or Staff members for contracts, grants and other sponsored programs. Such

external support must be integrated with the instruction, research and public service functions of the

University. By accepting grants, contracts or other sponsored programs, the University commits itself to Facilities and Administrative (Indirect) Costs and/or other expenses for support services, cost or expenses which must be borne either by the sponsor or by the University. In the latter case, because such activities, programs or projects are in direct competition for limited funds for other programs of the University, the University must

give careful administrative evaluation and consideration to accepting programs that provide less than full cost recovery.

**601.02 GRANTS, CONTRACTS AND OTHER AGREEMENTS TO BE
IN THE NAME OF
Albany State University**

All grants, contracts and agreements must be made in the name of Albany State University, a unit of the University System of Georgia. Section 100 of this Manual cites the delegation of responsibility and authority to the University President and its Vice President for Fiscal Affairs, the two positions authorized to execute contracts and accept grants for Albany State University.

Grants, contracts and other agreements are awarded to Albany State University - not to the

individual(s) responsible for the conduct of the program(s). Although such support is often awarded

to the University because of special competence, reputation, or expertise of Faculty and/or Staff members, Albany State University assumes full legal responsibility for the program(s) and for fulfilling sponsor requirements. It is therefore essential that the University mandate sound management practices and prudent fiscal policies in administering such resources.

601.03 PUBLICITY

Grantees must submit through the Office of Public Relations all publicity regarding the awarding or execution of any grant, contract or other agreement.

**601.04 TYPES OF PROPOSALS OR REQUESTS FOR SUPPORT AND
OTHER PROPOSAL
ACTIONS**

Requests to prospective grantors or contractors may be of two types: informal requests and formal proposals.

601.0401 Informal Requests or Approaches

These may be in preliminary discussions or proposals by faculty and/or staff members with

representatives of a prospective sponsor, without formal internal review or approval. Their purpose is

primarily to determine (1) the eligibility of the program for support, and (2) the likelihood of the

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proposal receiving serious consideration if offered as a formal request of support. Any preliminary

inquiry or proposal will contain no more than a single, lump sum cost estimate, clearly identified as

such. Further, no cost sharing statement nor any faculty or other official University signature shall

be given. The University will not authorize any commitment based on the sponsor's acceptance of a

preliminary proposal.

601.0402 Formal Proposals

Proposals to be submitted as official University requests to prospective grantors or contractors must

have appropriate review and approval of the following administrative levels:

- (a) Department/Unit Head or Chair,
- (b) Dean or Director,
- (c) Vice President for Academic Affairs or his or her designee,
- (d) Vice President for Fiscal Affairs,
- (e) Vice President for Institutional Advancement, and
- (f) University President.

The Vice President of Institutional Advancement is responsible for establishing and publishing

appropriate campus procedures for the review of proposals, including the designation of the office to

maintain official records of proposals. After review and approval of all program (academic)

administrators listed as (a), (b), (c) and (e) above, the proposal will be forwarded to the Office of the

Vice President for Fiscal Affairs. The Vice President for Fiscal Affairs and/or the Contracting Officer

in his or her administrative area will review the proposal for all Fiscal Affairs matters that fall within

the Vice President's jurisdiction and will, by signature, certify (with or without qualification) that the proposal is ready to be signed by the President for transmittal at the President's discretion. Subsequently the approved proposal will be returned to the originating Administrative Unit for submission.

601.0403 Withdrawal of Formal Proposal

Under certain circumstances before an award, a Principal Investigator/Project Director may decide

that a proposal should be withdrawn from the intended sponsor's review. The Principal Investigator/Project Director must notify the sponsor through the same approval or review offices required for the proposal itself.

601.0404 Negotiations

The Vice President for Fiscal Affairs will negotiate any business or finance (fiscal affairs) matters

concerning either the formal proposal and/or the grant or contract to be awarded. The Principal

Investigator/Project Director, with the approval of all program administrators and concurrence of the

President, may negotiate issues that do not affect business and finance (fiscal affairs) matters.

601.05 RESPONSIBILITIES OF PROGRAM AND/OR ACADEMIC STAFF

The academic or program staff is responsible for the preparation and review of all the technical or

program aspects of the proposal, the performance of the work, preparation of technical reports and

all responsibilities of the Principal Investigator/Project Director as specified in the grant or contract instrument, in rules and regulations of the sponsoring organization and in University policies, procedures, rules and regulations.

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601.06 CONTROLS AND/OR REQUIREMENTS FOR EXPENDITURES OF GRANTS AND CONTRACTS FUNDS

601.0601 The Principal Investigator/Project Director must spend grant or contract funds according to University policies and procedures governing the expenditure of general funds of the University.

Whenever grant and contract funds have additional controls and requirements by the sponsor, the

University requires strict compliance.

601.0602 The Principal Investigator/Project Director must not make any commitments or expenditures until the grant is officially awarded and accepted or the contract has been fully executed.

601.0603 Without a sponsor approved request for project extension, the Principal

Investigator/Project Director must not make any commitments or expenditures after the completion

date of the project.

601.07 AUTHORITY, RESPONSIBILITIES AND DUTIES OF THE VICE PRESIDENT FOR FISCAL AFFAIRS AND THE CONTRACTING OFFICER

The Office the Vice President for Fiscal Affairs and all its staff, and the Fiscal Affairs Contracting

Office are 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. The Office is responsible for ensuring that

the business interests of the University are protected in the terms and operations of proposed agreements. The Office 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.

The Office of the Vice President for Fiscal Affairs proposes and negotiates the University Facilities

and Administrative (Indirect) Costs rates to be used on all grants, contracts, or other agreements.

The Office is responsible for ensuring that auditable records are maintained in support of direct and

indirect charges to grants, contracts, or agreements, as well as for preparing and filing all fiscal reports and statements required by sponsors of grants, contracts and other agreements.

In the Office of the Vice President for Fiscal Affairs, the Contracting Officer is responsible for

ensuring that timely billings are prepared on cost reimbursement contracts, and for requesting funds

for grants or contracts funded by Letter of Credit. The Office must process all correspondence regarding business, financial and/or administrative matters requiring negotiations with sponsors.

601.08 LIMITATIONS

601.0801 In accepting a grant or contract from a Federal agency, private corporation or other awarding agency, the University agrees to perform the specified project under the terms and

conditions of the grant, contract, or agreement and to expend the funds following the specifications

of the granting agency. The University cannot accept any grant or contract or enter into any agreement contrary to State of Georgia law, or University rules and regulations.

601.0802 Compensation for personal services concerning duties performed under terms of a grant or contract must be according to State regulations and the provisions of Section 800, Human Resources Management, of this Manual.

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601.0803 The University and Board of Regents travel regulations must be followed for reimbursing travel costs of individuals traveling as part of the work performed under a grant, contract, or agreement. (See Section 503 of this Manual.)

601.0804 All purchasing under grants, contracts, or agreements must follow State of Georgia purchasing regulations, and University policies and procedures (Section 900, Logistical Services, of this Manual). Expenditures for obligations incurred under grants, contracts, or agreements can be made only for purposes for which State funds could be expended and those stipulated by the grant or contract conditions.

601.09 FACILITIES AND ADMINISTRATIVE (INDIRECT) COSTS RECOVERY

601.0901 General

Facilities and Administrative (Indirect) Costs are those costs of the University that are not readily identifiable with a particular project or activity but are nevertheless necessary to the general operation of the University and to the conduct of each activity. They include an allotted share of such items as Plant Operations; Department/Unit and University administration; Library operations; use of equipment and facilities; and certain general expenses apportionable to sponsored programs.

Unless the University is reimbursed for the Facilities and Administrative (Indirect) Costs proportionately assigned to sponsored activities, resources provided for other educational objectives

must be diverted for this purpose. This fact is generally recognized and accepted by representatives of the major agencies which sponsor activities at colleges and universities, and unless such agencies are otherwise prohibited or limited, they expect to pay their full share of project costs, both direct and indirect.

Indirect cost rates are determined by cost principles established in Office of Management & Budget

Circular A-21 "Cost Principles for Educational Institutions." They are audited and negotiated by a Federal agency designated as cognizant for the University. The Office of the Vice President for Fiscal Affairs will supply current rates to individuals involved with grants and contracts.

601.0902 Inclusion of Allowable Facilities and Administrative (Indirect) Costs

It is general policy of the University that provision for allowable Facilities and Administrative (Indirect) Costs be included in all proposals submitted to prospective sponsors. Except as described below, a waiver, in whole or in part, of full Facilities and Administrative (Indirect) Costs recovery must be justified to and authorized by the Vice President for Academic Affairs and the Vice President for Fiscal Affairs. Authorized exceptions to this general policy occur:

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A. Whenever legislation establishing the program and/or the appropriation act providing the funding

prohibits or limits reimbursement for Facilities and Administrative (Indirect) Costs;

A. Whenever it is the established policy of the prospective sponsor, typically a foundation, not to award

Facilities and Administrative (Indirect) Costs or to limit the award because it requires the University to share to this

extent in the total project costs;

A. Whenever reimbursement for Facilities and Administrative (Indirect) Costs is provided by other methods,

such as "cost of instruction" or Department/Unit allowances; or

A. Whenever substitution of an alternate rate or base results in a more equitable allocation and recovery.

NOTE: If one of the above situations applies to a proposal, either the preparer of the proposal or the

Fiscal Affairs Office, as appropriate, must make specific reference to the applicable exception, along with appropriate supportive information.

601.0903 Amendment of Facilities and Administrative (Indirect) Costs Requested and/or Approved

If the amount of Facilities and Administrative (Indirect) Costs to be charged a sponsored project changes from that amount included in the proposal and/or grant or contract award, the following guidelines apply to all types of agreements, whether cost-reimbursement or fixed price.

601.090301 Fixed Facilities and Administrative (Indirect) Costs Rates on Federal Programs

In case of an increase in the negotiated fixed rate during the project period, the budget for Facilities

and Administrative (Indirect) Costs will be adjusted upwards only if the contract or grant provides for

an increase during the term of the project, and if the sponsoring agency provides additional funds for

the increase. This means that direct costs funding will not be reduced to fund an increase in

Facilities and Administrative (Indirect) Costs because of a rate increase. If the rate is decreased,

the Facilities and Administrative (Indirect) Costs budget will be amended accordingly if required by

the term of the grant or contract. Depending on the policies of the sponsor, the Facilities and Administrative (Indirect) Costs funds released may be available for direct costs.

601.090302 Application of Facilities and Administrative (Indirect) Costs on Non-Federal Programs

Unless the current rate is negotiated as part of the award, proposals must use the indirect cost rate

in effect at the time of submission for determining the indirect cost portion of the program's budget.

This rate will be applied as a fixed rate for the duration of the project once the program is accepted

and supported by the sponsoring agency. Proposals for supplemental funding, however, must use

the most recently negotiated rate in effect at the time of submission.

601.090303 Change in Base Amount Computation of Facilities and Administrative (Indirect) Costs

An increase in the base amount to which an indirect cost rate is applied must be authorized through

the same Administrative Offices that approved the original budget and/or the sponsor according to

the terms of the grant or contract. If the approved revision results in an increase in the allowable

Facilities and Administrative (Indirect) Costs recovery, the budget for Facilities and Administrative

(Indirect) Costs will be adjusted accordingly. A decrease in the base does not require an amendment to budgeted Facilities and Administrative (Indirect) Costs unless the sponsoring

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agency, upon request by the University, authorizes the rebudgeting of funds from Facilities and Administrative (Indirect) Costs to direct costs categories.

601.10 COST SHARING

601.1001 General

The University recognizes that often work performed as the result of grants and contracts serves the

objectives of the University and the sponsor, and that through the University's cost participation in

such projects the concept of mutual benefit is reflected. Federal Office of Management and Budget

Circular No. A-100 mandates cost sharing by the institution for Federal grants and contracts awarded because of unsolicited proposals.

Costs are allowable to meet cost sharing requirements if they:

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A. Are verifiable from institutional records;

A. Are necessary and reasonable to obtain project objectives;

A. Are allowable under OMB A-21, "Cost Principles for Educational Institutions"; and
A. Are not charged either directly or indirectly to any other project supported by the same sponsor. (All

Federal agencies are considered a single sponsor.)

601.1002 Degree of Cost Sharing

Cost sharing required by Federal agencies must represent more than a token amount (normally defined as 1 per cent or less of total project cost). Proposals showing cost sharing at a significant level (greater than 5 per cent of total project costs) must be adequately justified, and approved by both the Vice Presidents for Academic Affairs and Fiscal Affairs. When not required by the sponsor, the University will not approve a proposed commitment to defray a part of the project's total costs unless adequate justification in writing is presented to and subsequently approved by these two Vice Presidents.

601.100201 Cost Sharing on Department of Health and Human Services Sponsored Programs

The University currently maintains an Institutional Cost Sharing Agreement that predetermines the

University's cost sharing requirement for all DHHS grants or contracts awarded. The Vice President

for Fiscal Affairs will negotiate the level of cost sharing on all DHHS projects.

601.100202 Cost Sharing on National Science Foundation Sponsored Programs

According to NSF Important Notice No. 81, institutions are no longer required to reflect cost sharing

within individual proposal budgets. The requirements, however, stipulate that records must be

maintained to substantiate cost sharing on an aggregate basis equal to or greater than 1 per cent of

NSF funding.

601.100203 Cost Sharing Records

The Contracting Officer of the Office of Vice President for Fiscal Affairs, through coordination with academic departments receiving DHHS/NSF support, will obtain and maintain files of Department/Unit cost sharing records on a fiscal year basis.

601.1003 Methods of Cost Sharing

Any one or a combination of the methods below may be listed as proposed partial support of project

costs:

1. Reduction of allowable Facilities and Administrative (Indirect) Costs;
2. Reassignment of other departmental/unit funds;
3. Statement of support (cash or in kind) from an agency external to the University; and
4. Revenue generated from project activity, such as registration fees.

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602 PROCEDURES

602.01 PREPARATION AND SUBMISSION OF PROPOSALS

602.0101 Guidance and Assistance Available

A University Faculty or Staff member wishing to initiate a proposal for a grant or contract should first seek, from the Office of Institutional Advancement, guidance on the selection of the appropriate program or project. This Office will aid in the selection of programs and projects consistent with the

general aims and interests of the University, and will provide assistance and direction in the preparation of specific proposals. The Office of Vice President for Fiscal Affairs will assist and coordinate business and financial (fiscal) aspects of proposal preparation and submission.

602.0102 Procedural Responsibilities

Administrators and Staff members at various levels have certain responsibilities and obligations in the preparation and submission of proposals (including preliminary documents) and supplemental funding requests.

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A. The Principal Investigator/Project Director prepares and submits the grant or contract proposal and is

assigned responsibility for carrying out scientific or technical efforts as defined in the proposal. In addition, the

Principal Investigator/Project Director must administer the project according to the terms of the grant or contract and

applicable regulations and approve all direct cost expenses.

A. The Department/Unit Head or Chair is responsible for approving the project's scope as it conforms to the

objectives of that Department/Unit. Approval signifies that facilities and personnel under the Head's jurisdiction are

available and can be committed as proposed to accomplish the project.

A. The appropriate Dean or Director must ensure that the proposed sponsored project is consonant with

the total objectives of the University and that it will not involve the University in unethical, illegal programs or

programs that may embarrass or adversely affect the University. He or she also confirms the certifications of the

Department/Unit Head and the Principal Investigator/Project Director. The Dean or Director must ensure that the

quality of the proposal is a credit to the University. Where proposals are otherwise acceptable but involve entry into

new or questionable fields of effort or require a substantial increase in funding, personnel, equipment or space

allocations, the appropriate Dean or Director must ensure that such proposals have been discussed with and

approved by the Vice President for Academic Affairs before being transmitted to the Office of Institutional

Advancement and/or the Vice President for Fiscal Affairs.

A. The Office of the Vice President for Fiscal Affairs will examine each proposal and review the contractual

and legal requirements, the budget, and other business related matters.

602.0103 Direct Costs Allowable

The direct charges shown in a proposal must be allowable following standard accounting practices

of the University. Direct costs allowable for grants, contracts, or agreements include the following:

A. Direct salaries and wages, including holiday, vacation and sick pay;

A. Employer costs for fringe benefits computed in the proposal as a percentage of direct salaries and

wages. (This factor will be provided by the Contracting Officer of Office of the Vice President for Fiscal Affairs.);

A. Materials, supplies, services, and special tooling costs required specifically for project performance;

A. Equipment, apparatus and other articles used on a specified project or contract, including the rental of

such needed equipment, apparatus or article, as approved by the Contracting Officer of the awarding agency

(Equipment items must be itemized in the proposal budget. Estimates and/or price quotations should be secured

through the University Procurement Office);

A. Shipping costs;

A. Long distance telephone calls;

A. Travel expenses of personnel engaged in the performance of the sponsored project;

A. Costs of outside consultant services, and services rendered by other individuals, institutions or agencies;

A. Subcontracted costs (A copy of the subcontractor's proposal—work statement and budget—must be

included);

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A. Computer Services Costs; and

A. Rearrangement and restoration of the University's property to the extent approved by the awarding

Contracting Officer.

Such charges are obviously not all-inclusive. Any questions related to the classification of costs

between direct and indirect should be referred to the Office of the Vice President for Fiscal Affairs.

602.0104 Proposals Not Approved

Proposals not receiving approval at any level of review will be returned, with appropriate

explanation(s) to the Principal Investigator or person in charge of the project for revision and, if

applicable, subsequent resubmission. Under no circumstances should a proposal be approved at a

higher review level without having been approved at all preceding levels.

602.0105 Submission of Proposals

Only proposals approved at each review level and executed by the Vice President for Fiscal Affairs

and the President will be considered eligible for submission to a sponsor by the Principal Investigator/Project Director, who must provide complete copies of the proposal to the Office of Institutional Advancement and the Office of the Vice President for Fiscal Affairs.

If the sponsor fails to accept the proposal within a year, it will be removed from the files. Should a

notice of rejection be received within that one year period, such notice will be coordinated with the

Principal Investigator/Project Director and the Office of Institutional Advancement, and the proposal

will be removed from the files.

602.0106 Review Channels for Supplemental Funding Requests
Submissions of supplemental funding requests must follow the same review channels specified for

new proposals. Requests for no-cost extensions will at a minimum be routed through the appropriate Department/Unit Head to the Vice President for Fiscal Affairs.

602.0107 Checklist for Reviews

Before approval at a review level, items to be considered should include:

1. Eligibility of the Principal Investigator/Project Director - Under the rules of the University is the individual initiating the proposal eligible to direct the program?
2. Contribution to Instruction, Research or Public Service Functions - Will the program contribute to either or all as part of the general mission of the University?
3. Percentage of Effort - Is the amount of effort committed by the participating personnel realistic and consistent with other duties?
4. Human Subjects - If the proposed research involves the use of human subjects, has it been reviewed and approved by the University's Committee for the Protection of Human Subjects?

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5. Care of Laboratory Animals - If warm-blooded animals are to be used in the conduct of the research, have provisions been made to ensure adequate and humane care following prescribed standards of the University's Committee for Laboratory Animal Welfare?
6. Budgets - Is the budget sufficiently detailed and consistent with the accounting procedures and systems to be used to determine actual

costs? Have all potential cost items been covered in the estimated budget?

7. Staff Benefits and Indirect Cost Rates - Have the University's Staff Benefits and Facilities and Administrative (Indirect) Costs Rates been included and properly applied in the proposed budget?
8. Title to Equipment - Does sponsor allow for equipment title to vest in the University? Does the proposal contain a petition for vestment of title?
9. Patents, Copyrights and Rights in Data - Have the sponsor's terms for these subjects been considered? Are they acceptable?
10. New Staff - Will the proposed activity require new staff? Would such expansion be consistent with University plans?
11. Space and Equipment - Can the project be accommodated within existing space? Is it adequately equipped? If not, are requirements for additional space and equipment consistent with the University's plans?
12. Cost Sharing - Is any cost-sharing commitment made in the proposal accurate and consistent with the University's policy and budgets?
13. Security and Confidentiality - If there is a security restriction, or a statement requiring the protecting of confidential information, does it conflict with University policy?
14. Long-term Commitments - Does the proposal commit the University to continue the proposed activity beyond the period of sponsor funding? If so, do budgeting and planning appropriately support such commitments?
15. Hazardous Materials - Have provisions been made to ensure compliance with appropriate University and OSHA guidelines?

602.02 ASSIGNMENT OF ACCOUNTS

The University will be informed of the acceptance of a proposal by an award notice from the

sponsor. The original (or copy) of this award notice must be received by the Office of Budgets &

Contracts Management in the Office of the Vice President for Fiscal Affairs before any accounts

(expenditure, budget, revenue, etc.) can be assigned. The Department of Financial Operations will

assign an appropriate account number and notify appropriate individuals of such assignments. The

effective start date of the program will coincide with the establishment of the account number assignment; consequently, costs incurred before that date may not be transferred to the new account.

602.03 BUDGETS

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When notification of the award of a grant or contract has been received and an account number has

been assigned, the Office of Budgets & Contracts Management in the Office of the Vice President

for Fiscal Affairs will prepare and send to the Budget Analyst a budget amendment for entry into the

accounting system. Such amendments may include the rebudgeting of Department/Unit funds into

cost sharing accounts as proposed and approved. All budgets to the project account and other accounts affected by the project will be prepared to conform to the budget as proposed (or negotiated) and subsequently awarded by the sponsor with a copy forwarded to the appropriate Department/Unit.

602.04 BUDGET ADJUSTMENT AND TRANSFERRAL OF FUNDS

The Principal Investigator/Project Director is responsible for establishing a project's operating budget

and maintaining it within the limits set by the sponsor for the period(s) of the project. Limitations on

the rebudgeting of project funds, and requirements to be met in rebudgeting such funds, vary markedly among agencies.

Consequently, general guidelines and specific procedures are omitted from the Manual. At the beginning of a project, the Principal Investigator/Project Director must determine the sponsor's policy regarding this subject. If requested, the Fiscal Affairs' Office of Budgets & Contracts Management will assist.

Requests for major budget revisions (10 per cent or more of a specific budget level without

guidelines from the sponsor) must be processed through the prescribed review and approving

authorities to the Office of Institutional Advancement and Office for the Vice President for Fiscal

Affairs, which, if required, will forward the request to the sponsor for action. When approval/disapproval authority has been delegated to the University administration by the sponsoring

agency, the Vice President for Fiscal Affairs or his or her designee will act on the rebudget request.

602.05 PROCEDURE FOR PROCESSING REQUESTS FOR PURCHASE, VOUCHERS AND

OTHER EXPENDITURE DOCUMENTS

Direct charges to grants and contracts accounts will be effected in the same manner as for other

University accounts. Procedures for processing such documents are found elsewhere in this

Manual (Sections 500, 800 and 900). Payment of supply and material purchases may be accomplished by distributing an invoice cost among several Department/Unit accounts. When grant

or contract accounts are involved in this procedure, it is recommended that the rationale for the cost

distribution be documented and shown on the voucher or attached to it.

Because the Principal Investigator/Project Director initially approves all expenditures of a sponsored

project, he or she is responsible for determining whether the sponsor will allow an item of direct

cost, before the expenditure document is processed. To verify authorizing the assignment of

specific items of direct costs, the Principal Investigator/Project Director must sign or initial all cost

documents concerning the project account. Concerning questions of allowability of costs of specific

items, he or she should contact the Contracting Officer of the Office of the Vice President of Fiscal

Affairs.

602.06 PRIOR APPROVALS REQUIRED BY SPONSORS Many

Federal and some non-Federal agreements require that the sponsoring agencies give their approval prior to a variety of actions. Such prior approval is intended to ensure that: (1) the sponsor is kept aware of, and agrees with, the current status of the project costs, quantity and quality of effort expended, and the anticipated project results; and/or (2) that certain costs meet the

requirements of Federal appropriations from which the project is funded. The following list includes

some instances that would usually require prior approval by the sponsor:

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1. Change in approved scope of work;

2. Increase or decrease in level of effort greater than 10%;
3. Absence or change of Principal Investigator/Project Director;
4. Major changes in budget categories, e.g., travel or equipment costs over 125% budgeted;
5. Purchase of equipment items costing \$1,000 or more;
6. Building construction or alteration;
7. Subcontracting of work effort;
8. Foreign travel; and
9. Consulting agreements.

602.07 REPORTS TO SPONSORS

The Fiscal Affairs' Office of Budgets & Contracts Management will prepare and submit fiscal reports,

statements and other administrative documents required for grants and contracts projects.

Whenever the nature of specific reports or documents requires their preparation at the

Department/Unit level where the project performance is assigned, the Office of Budgets & Contracts

Management retains responsibility for the contents of the information submitted.

The following is a representative list of the type of documents that may be prepared by this Office as

procedures, regulations and/or applicable contract provisions require:

Periodic and Final Billings,

Expenditure Reports, and

Grant/Contract Closing Reports.

The Principal Investigator/Project Director is responsible for preparing and submitting technical

reports, progress reports, program performance reports, manuscripts, and program manuals. He or

she must forward to the Office of Budgets & Contracts Management copies of transmitting letters for such reports for inclusion in the official University file for the project.

602.08 PERSONNEL ACTIVITY REPORTS

The Office of Management and Budget Circular Number A-21: Cost Principles for Educational

Institutions has provided guidelines for the distribution of payroll costs associated with Federally

sponsored agreements and/or indirect cost activities. The specific requirements concerning

Personnel Activity Reporting may be found in Section J.6.d. of that circular. Albany State University

maintains a payroll distribution support system designed to meet these requirements. The Fiscal Affairs' Office for Budgets & Contracts Management will notify the Principal Investigator/Project Director of the specific requirements.

602.09 RELEASED TIME

The Principal Investigator/Project Director must arrange with the Department/Unit Head and the

Dean for released time required in the proposed project. Final approval of released time for Faculty

members rests with the Vice President for Academic Affairs and the President.

602.10 POST AWARD PROJECT MANAGEMENT

Administering a grant, contract, or other agreements consists of all actions necessary for managing

an award, from the initial authority to expend monies, through the fiscal closeout and final report of

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an expired grant. Section 600 of this Manual contains information on obtaining authority to expend

funds, establishing accounts, managing and documenting expenditures, and delineating responsibilities of the Principal Investigator/Project Director. This Manual includes some general requirements of Federally sponsored projects. However, no attempt has been made to cover the specific regulations of many Federal (and non Federal)

grant/contract awarding entities for their various programs. Principal Investigators/Project Directors

are responsible for strict compliance with all regulations governing their sponsored projects. Thus, it

is imperative that they become completely familiar with the regulations, policies, procedures, etc. of

the University and sponsor.

602.11 ACCEPTANCE OF AWARDS

The President of the University must formally accept all sponsored projects awards. Award notices

are normally directed to the President, with a copy to the Principal Investigator/Project Director. Should a Principal Investigator/Project Director receive an award notice not addressed to the President, he or she should immediately forward it to the Office of the President for acknowledgment and/or acceptance.

602.12 ESTABLISHING UNIVERSITY ACCOUNTS

When a sponsored project award or executed contract has been received, the Principal

Investigator/Project Director must contact the Director of Financial Operations for the assignment of

the appropriate account(s), before any funds are committed.

602.13 MANAGEMENT AND DOCUMENTATION

Concerning expenditures matters, the Principal Investigator/Project Director should consult with the

Director of Financial Operations throughout the project. The Director can assist and advise on any

matter concerning sponsor and/or University policies, procedures and regulations on appropriate, documented expenditures and budgets.

The Principal Investigator/Project Director must consult with the Director of Logistical Services concerning any matters involving procurement.

Despite the funding source of any sponsored project, all procurements and expenditures must comply with the requirements of the sponsor and existing University, Board of Regents and State policies, procedures, regulations and laws. Any anticipated variances with this requirement must be discussed with and approved in advance by both the Vice President for Fiscal Affairs (or his or her designee) and the Vice President for Academic Affairs (or his or her designee).

602.14 RESPONSIBILITIES OF THE PRINCIPAL

INVESTIGATOR/PROJECT DIRECTOR Each Principal Investigator/Project Director is primarily responsible for ensuring that the research

effort or other program is performed in a manner commensurate with the expectations of the grantor

and with the highest ideals of professional inquiry. Although the Principal Investigator/Project Director is primarily responsible, the normal supervisory relationship with the University is not changed. The University is ultimately accountable for any sponsored project.

Support of the various Administrative Units of the University is always available to the Principal

Investigator/Project Director during the entire project period. During the execution of the project or

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program, he or she must not bypass or ignore these administrative levels (Department/Unit Head, Dean, Office of Budgets & Contracts Management - Fiscal Affairs, Office of Financial Operations, Office of Logistical Services, and the Vice Presidents).

Explanation of procedures and general support are available from the Director of Human Resources

Management (including hiring personnel), from the Director of Logistical Services (including procurements and moving), from Plant Operations (including work order jobs, telephone services, and motor pools); from the Director of Financial Operations (including budgets and expenditures), and from the Fiscal Affairs' Budgets & Contracts Management Contracting Officer (including reports and indirect cost rates).

Throughout the life of the project, the Principal Investigator/Project Director must place high priority

on documentation and completeness of reports required by the sponsor.

602.15 RESPONSIBILITIES OF THE CONTRACTING OFFICER, BUDGETS & CONTRACTS DIVISION OF THE OFFICE OF THE VICE PRESIDENT FOR FISCAL AFFAIRS The Contracting Officer and his or her office will provide assistance to the Principal Investigator/Project Director in fulfilling the reporting requirements of the sponsor, provide information

and assistance concerning all fiscal affairs matters for the project or program, and maintain file

copies of all project/program reports as resources to be used in other reports of the University to the

same or similar sponsor.

602.16 HELPFUL SUGGESTIONS FOR THE PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR

The Principal Investigator/Project Director should:

- (a) Not incur obligations under new or renewed projects until authority to expend has been received and an appropriate account number has been assigned;

- (b) Remember to seek budget negotiation coordination from the Office of Vice President for Fiscal Affairs;
- (c) Read the award guidelines and budget carefully to ensure proper management of the award;
- (d) Not purchase equipment during the last three months of a Federal grant. (The auditor may disallow the cost of the equipment purchased near the end of a grant.);
- (e) Not, under ordinary circumstances, order supplies during the last month of a grant;
- (f) Verify all charges on the grant with the Director of Financial Operations before such financial commitments are made (Common budget items and recurring expenses, such as salaries, may be verified when the account is established.);
- (g) Process all budgetary adjustments through the Budget Analyst, Office of Fiscal Affairs, to avoid audit disallowance;
- (h) Monitor each month the grant expenses and encumbrances as a check on the remaining funds;

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- (I) Not make expenditures on a terminated grant account to be subsequently transferred to a new account number for a renewal grant;
- (j) Not incur obligations if he or she has any doubts as to their allowability;
- (k) Submit required periodic and final reports on time; and
- (l) Remember that the Office of Budgets & Contracts Management, Fiscal Affairs, has fiscal responsibility for ensuring that the award is administered according to the regulations of the sponsor and the University.

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700 RECORDS MANAGEMENT

701 FUNCTIONS AND RESPONSIBILITIES

Records management at Albany State University was established to fulfill the requirements of

Georgia Code Section 50-18-94. The Records Center, under the administrative control of the Office

of Logistical Services, provides storage for both semi-active and inactive records for all Departments/Units. The Records Center operation can provide ready reference service to any

requesting Department/Unit for any file series in storage. The Records Manager will answer

questions concerning records selection, materials and filing equipment, filing methods and

procedures, and training of filing personnel within the Administrative Units, and, when requested, will

assist in implementing the procedures contained in the State Records Management Manual. The Records Center coordinates the physical transfer of records from various offices. These transfers involve the semi-active and inactive files according to the Records Retention Schedule prepared and distributed by the Records Manager and approved by the Vice President for Fiscal Affairs.

The files are indexed, microfilmed if required or requested, and stored, for ready reference, in a

secure area in the Records Center. Departments/Units may request a file by completing a Records

Storage/Retrieval Request form. If necessary, the Records Center will return files to the originating

Office for reference purposes, and when requested, will provide a "hard copy" (paper) of any record

on microfilm.

A Department/Unit can order record storage boxes from Central Stores. Whenever there is a full file

cabinet drawer of files to be stored, these boxes are the best method for temporarily holding the items. Letter and legal box sizes are available in Central Stores. NOTE: It is the Department's/Unit's responsibility to box all files and label the boxes.

702 DEFINITION OF TERMS

Following is a list of terminology related to Records Management:

702.01 Active records - Records consulted frequently in the conduct of current departmental business;

702.02 Archival records - Permanent records that are non current and are not required to be retained in the office in which it originates;

702.03 Archives – An area utilized for the permanent storage of valuable records and documents for the benefit of scholars and posterity;

702.04 Common Schedules

702.0401 State-wide Common Schedules – Schedules that cover files which accumulate as a result of functions which are commonly performed by all agencies such as Budget, Personnel Fiscal, Housekeeping and Reference Paper Files Series, and have been approved for use throughout agencies of state and local government;

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702.0402 Agency-wide (University-wide) Common Schedules – schedules covering files which accumulate as a result of functions which are commonly performed by more than one office, division

section, or field office of an agency (the University), and apply only to the agency (University) which

established them and are directly related to its mission/function. These schedules are exclusive of State-wide Common Schedules mentioned above;

702.05 Current Files Area - The designated area, usually the working Office, where records in frequent use are maintained;

702.06 Cut off - The discontinuance at specified intervals of placing files in existing folders. All new material is placed in a new set of folders. The purpose of cutting off files is to remove them from

the Current Files Area as soon as possible and transfer them to a low cost storage area. (The cut off date is usually July 1 of each year.);

702.07 Disposition – The decision concerning the final status of records which determine whether they will be retained, transferred, or otherwise disposed of;

702.08 File series - Documents, volumes, or groups of records arranged under a single filing system or kept together as a unit because they relate to a particular subject, result from the same activity, or have a particular form. Volume is not a factor; a file series may consist of one file or hundreds of feet of files;

702.09 Inactive record - A record no longer needed in the conduct of current business;

702.10 Local Holding Area – A low-cost centralized area, usually warehouse-type space, maintained by the University for records that are referenced too often to be transferred to Records

Center;

- 702.11 Non Record Material – Includes library material, extra copies of documents, publications, preliminary worksheets, and similar papers which are not needed for purposes of documentation;
- 702.12 Permanent Record – A record which has a permanent or enduring administrative, legal, fiscal, research or historical value or in consequence thereof must be retained and preserved indefinitely;
- 702.13 Records - All documents, papers, books (except books in formally organized libraries), maps, drawings, cards, charts, letters, photographs, microfilm, magnetic tape, or other documents that have been made or received in connection with the transaction of business and preserved for informational value or as evidence of a transaction;
- 702.14 Records Center - An intermediate area maintained at the University with facilities for the storage, processing, servicing, and security of records until disposal, in accordance with a retention/disposal schedule. The facilities use less desirable and less expensive space and equipment than used in office records storage;
- 702.15 Records Management - The systematic control of paperwork and records, whether on paper (as forms, written instructions and correspondence), microfilm or computer tape; from their creation through maintenance and use in active and inactive files, including rapid retrieval when needed, to final disposition or archival retention;

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- 702.16 Records Management Section – A unit responsible for assisting line officials in the handling of records and other papers;
- 702.17 Records Retention Schedule - A timetable based upon administrative reference needs and legal requirements for the handling and location of records during their creation through their periods of peak and diminishing reference use to their timely destruction or retirement. This schedule becomes a control of the automatic flow of records from their creation to final disposition;
- 702.18 Retention Period - The time during which records must be kept before they are either destroyed or stored in an archival area (i.e., records as of June 30, and
- 702.19 Retirement – The removal of records from an active location to a records center or from a records center to an archival area;

- 702.20 Semi-Active Records - Records that are consulted infrequently and which need not be retained in the Administrative Unit where accumulated.
- 702.21 Transmittal Sheet – Used by agencies in transferring records to the Records Center or Archives in Atlanta, which lists box contents along with other statistical data.

703 RECORDS MANAGEMENT CENTER PROCEDURES

Records Management at Albany State University will be carried out in strict compliance with BOARD OF REGENTS, UNIVERSITY SYSTEM OF GEORGIA, RECORDS MANAGEMENT –

POLICIES AND PROCEDURES, Revised 1990.

703.01 TRANSFERRAL OF RECORDS TO RECORDS CENTER

703.0101 Preparation of Records Center Control Card

A Department/Unit transferring semi-active and inactive records must prepare and forward to the Records Center a three-part Records Center Control Card. To complete this form (See Exhibit 703.0101-1), the Department/Unit must:

Enter date for transfer of file (No. 1);

Enter name and telephone number of the originating Division, Department or other Administrative Unit (No. 2);

Enter dates covered by the records, with records of different dates and total retention periods on separate Record Center Control Cards (No. 3);

Enter name of the file series, including sufficient data and filing arrangements to enable others to identify this file later, with the name of the file series the same as that listed on the Records Retention Schedule (No. 4);

Enter total retention period in years, this information being obtained from the Records Retention Schedule and including the total number of the active years plus the semi-active years computed from the day after the cutoff day for the file series (No. 5);

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Enter the destruction date, which is computed by adding the total retention period in years, item 5, to the day after the cutoff date of the records, item 3 (No. 6);

Give range of numbers and letters, if filed in numerical order or alphabetical sequence, a continuation of the Name of File Series, item 4 (No. 7);

Enter the total number of each size file container and number each box for the file series as "1 of 5", "2 of 5", "3 of 5," etc.; if other type container is used, specify number, type and cubic feet capacity (No. 8);

Enter an "X" to indicate if for archives or microfilm; if for both, place an "X" in both spaces; if neither applies, leave blank. (This information is obtained from the Record Retention Schedule. When the file box has been placed on a shelf in the Records Center, part 1 of the Records Center Control Card will be returned to the originating Department/Unit with the box number and location.) (No. 9); and Leave "Box No." blank. (The Records Center will number the box and record the number on this line. The number will be used by Departments/Unit to request retrieval of this box.) (No. 10).

703.0102 Disposal Action

The Records Center will retain records during a time specified in the Records Retention Schedule.

At the expiration of the retention period, the originating office, Archives Committee and Records

Manager will review the records. The Records Center will transfer to the University Library Archives

for retention all records with archival value and properly dispose of remaining records.

703.0103 Request for Files to be Stored or Retrieved

The individual Department/Unit requesting files to be stored in the Records Center or retrieved must

complete the Records Center Reference Request shown as Exhibit 703.0103-1. The Department/Unit must:

Each form can be used for only one Department/Unit;

Enter the name of the Department/Unit;

Secure the signature of the Department/Unit Head on the proper line;

Enter the building name where the records can be picked up for storage, or delivered after retrieval;

Enter the room number for pick up or delivery;

Enter the date the records will be ready for storage or needed from retrieval. (If possible this should be at least a three-day lead time.);

Enter the name of a contact person who has or will receive the records;

Enter box and location numbers, if requesting retrieval of a file. This can be found on line 10 of the Department/Unit copy of the Records Center Control card for the requested file;

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Enter the record description, including the file series as listed on the Department/Unit copy of the original Records Center Control used to store the file, along with dates covered by the records and the name of the Department/Unit creating the record if different from the requesting Department/Unit;

State, if requesting storage, "Pick up records for storage for the attached ____ (Enter a quantity) Records Center Control card(s)"; and Enter the total number of boxes to be stored, if requesting storage. When a file is removed from the Records Center, the Center attaches a label with the storage information. This label should remain on the file so that the information is available when the Department/Unit requests re-storage of the file.

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800 HUMAN RESOURCES MANAGEMENT

800.01 FUNCTIONS OF HUMAN RESOURCES MANAGEMENT

The Director of Human Resources Management, who reports to the Vice President for Fiscal Affairs,

is responsible for the following functions:

Personnel Administration,

Employee Benefits,

Recruitment, Selection and Hiring of Non-Academic Personnel,

Compensation Plans & Programs,

Training and Development of Non-Academic Personnel,

Employee Relations, and

Records Management.

800.02 FUNCTIONS AND RESPONSIBILITIES OF THE DIRECTOR OF HUMAN RESOURCES

MANAGEMENT

The Director of Human Resources Management is charged with the following:

Administration of programs in recruitment, selection, and hiring process of non-academic personnel and certain assigned personnel in accordance with established policies and procedures of the University, the Board of Regents of the University System of Georgia, and the State of Georgia;

Administration of the employee benefits program;

Administration of the University's payroll preparation function, ensuring that strict separation of duties is maintained so that actual Payroll Checks processing is performed by the Office of Financial Operation, Data Processing Division, independently of the Human Resources Management Office;

Administration of training and development programs for non-academic personnel;

Administration of employer/employee relations programs, including all aspects of fair employment practices;

Representation of the University in hearings relative to unemployment, workers' compensation, fair employment practices, Office of Civil Rights, and other employee-related risk management assignments;

Service on campus committees and task forces, as assigned; and Performance of other duties assigned by the Vice President for Fiscal Affairs.

800.03 ORGANIZATION

Exhibit 103.04-6 reflects the organization for accomplishing the above functions and responsibilities.

801 PERSONNEL CATEGORIES

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801.01 FACULTY MEMBERS

The Faculty consists of the Corps of Instruction and the Administrative Officers having Faculty status (BR Policy 203.03).

801.0101 Corps of Instruction

Full-time Professors, Associate Professors, Assistant Professors, Instructors, Lecturers and

teaching personnel with such other titles as may be approved by the Board of Regents, shall be the

Corps of Instruction. Full-time research and extension personnel and duly certified librarians will be

included in the Corps of Instruction on the basis of comparable training. Persons holding adjunct appointments or other honorary titles shall not be considered to be members of the Faculty.

801.0102 Administrative Officers

A Faculty member who has academic rank and rights of tenure in the Corps of Instruction and who

accepts an appointment to an administrative office shall retain academic rank and rights of tenure

as an ex-officio member of the Corps of Instruction but shall have no rights of tenure in the

administrative office to which he has been appointed. The additional salary, if any, for the

administrative position shall be stated in the employment contract and shall not be paid to the

Faculty member when he or she ceases to hold the administrative position. An administrative

officer having Faculty status (when stated in the appointment letter or contract) shall have all the responsibilities and privileges of Faculty membership. Administrative officers shall be appointed by

the President of the University with the approval of the Board of Regents and shall hold office at the

pleasure of the President (BR Policy 203.0302).

801.02 CLASSIFIED PERSONNEL

801.0201 Professional and Administrative Personnel

All Employees who are exempt from the Federal Wage-Hour provisions of the Fair Labor Standards

Act because of their professional or administrative responsibilities, and who are not identified as

Faculty or Graduate Assistants, shall be designated as Professional and Administrative Personnel.

801.0202 Staff

All Employees who are not exempt from the provisions of the Fair Labor Standards Act shall be designated as Staff.

802 TYPES OF EMPLOYMENT

802.01 REGULAR

Personnel employed for a continuous period exceeding one academic semester or three calendar months are “regular” employees.

802.02 TEMPORARY

Personnel who are not employed as “Regular” Employees are “Temporary” Employees. Temporary

Employees are employed for a period no longer than six calendar months, and any subsequent

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employment shall be initiated by the appropriate employing Supervisor or Department Head of the

University. All student assistants shall be and are classified as “Temporary.”

803 GENERAL POLICIES FOR ALL PERSONNEL

803.01 EQUAL EMPLOYMENT OPPORTUNITY

No person shall, on the basis of race, color, sex, religion, creed, national origin, age, or handicap,

be excluded from employment or participation in, be denied the benefits of, or otherwise be

subjected to discrimination under any program or activity conducted by Albany State University (BR

Policy 802.01).

803.0101 Affirmative Action

It continues to be the policy of Albany State University to implement affirmative equal opportunity to

all Employees, Students, and applicants for employment or admission without regard for race, creed, color, national origin, religion, age, veteran status, or handicap. Affirmative Action shall be taken to ensure fulfillment of this policy, including, but not being limited to, the following personnel actions:

Recruitment, enrollment, and educational practice;

Hiring, placement, upgrading, transfer or promotion;

Treatment during employment;

Recruitment, advertising or solicitation for employment;

Rates of pay or other forms of compensation;

Selection for training;

Layoff or termination; and

Fringe Benefits.

The policy of the University is consistent with the requirements and objectives of Executive Order No. 11246, as amended; Vietnam Era Readjustments Act of 1974, as amended (38 U.S.C. 2012);

Section 503 of the Rehabilitation Act of 1973, as amended; and their implementing regulations. Albany State University embraces the objective to employ, without discrimination, individuals qualified and/or trainable for positions by virtue of job related standards of education, training, experience or personal qualifications.

In conformance with the Federal regulations listed above, Albany State University does not

discriminate against any Employee or applicant for employment or against any Student or applicant

for admission regarding any position for which the Employee or Student is qualified. For all Employees, applicants for employment, and Students with physical and mental limitations, Albany State University will provide reasonable accommodations. The Affirmative Action Officer is responsible for ensuring compliance and continued affirmative implementation of the policy. This Officer will conduct periodic reviews for measuring progress against stated objectives as well as for considering revisions and updates.

A copy of the Albany State University Affirmative Action Program is available in the Office of Human

Resources Management and the James Pendergrast Memorial Library and may be inspected by

any Employee, prospective Employee, Student or prospective Student between the hours of 8:30

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a.m. and 5:00 p.m., Monday through Friday, except for official University holidays and approved closing.

803.02 AGE CRITERIA

The employment of all persons under the age of eighteen (18) years shall be in compliance with the regulations of the U.S. Department of Labor (BR Policy 802.02).

803.03 SEXUAL HARASSMENT

In the same manner as other forms of discrimination prohibited by law, sexual harassment, that is,

verbal or physical conduct of a sexual nature which creates an unproductive offensive learning or

working environment and has a detrimental effect on an individual, is prohibited. Unwelcome sexual

advances, requests for sexual favors and other verbal or physical conduct of a sexual nature constitute sexual harassment.

Albany State University embraces and fully adheres to the Board of Regents' Policy on Sexual Harassment.

Sexual harassment of Employees or Students of Albany State University is prohibited and shall subject the offender to dismissal or other sanctions after compliance with due process requirements. Unwelcome sexual advancements, requests for sexual favors, and other verbal or physical conduct of a sexual nature constitute sexual harassment when:

- A. Submission to such conduct is made explicitly or implicitly a term or condition of an employment or academic standing; or
- B. Submission to or rejection of such conduct by an individual is used as a basis for employment or academic decisions affecting an individual; or
- C. Such conduct unreasonably interferes with an individual's work or academic performance or creates an intimidating air or offensive working or academic environment. (BR Business Procedures Manual, Vol. 3A Revised, Sec III. U.).

803.0301 Definition of Sexual Harassment

For purposes of this policy, sexual harassment is defined as follows:

- A. Sexual conduct of any nature which is not freely and mutually agreeable to both parties;
- B. Communications of a sexual nature, whether verbal, written or pictorial, which are made with the intent to intimidate the person receiving such communications; or
- C. Solicitation of sexual conduct of any nature, when submission to or rejection of such is intended to be the basis for either implicitly or explicitly imposing adverse or favorable terms and conditions of employment or academic standing.

803.0302 Unwanted Pressures

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Unwanted pressures are considered sexual harassment; those pressures from people in authority are judged more frequently to be sexual harassment than those same pressures from peers.

803.04 ILLICIT DRUGS AND ALCOHOL

Albany State University, as any other educational institution, has a clear responsibility to its

students, their parents, its employees, and the entire University community. This involves providing

the best academic environment for students and a wholesome working environment for University employees.

As a recipient of Federal funds, Albany State University supports and complies with the provisions

of the Drug-Free Workplace Act of 1988 and the Drug-Free Schools and Communities Act of 1989. The Drug-Free Workplace Coordinator for Albany State University is the Director of Human Resources Management. His or her office is located in Room 290 of the Academic (ACAD) Building. His or her office telephone number is 912-430-4623.

803.0401 Drug-Free Workplace Act of 1988

A. The unlawful manufacture, distribution, dispensation, possession, or use of a controlled substance in

the workplace by an Albany State University employee is prohibited by institutional policy.

A. Violations of this policy, including felony and/or misdemeanor drug convictions and/or pleas of **nolo**

contendere, during the course of employment with Albany State University will result in appropriate disciplinary penalties being imposed by the University.

A. Appropriate disciplinary penalties may include a range of actions up to and including termination, or

lesser sanction, within 30 days of a conviction (including a plea of **nolo contendere**); or may include, at the discretion of the University, satisfactory participation in an established drug abuse assistance rehabilitation program.

A. As a condition of employment in which an employee is directly involved in the performance of a federal grant or contract, the employee must:

A. Abide by the University's policy on controlled substances; and

A. Inform the University of any criminal drug statute conviction for a violation occurring in the workplace no later than five (5) days after such conviction.

A. Each employee will be provided with a copy of this policy. Two (2) copies of this policy are placed on permanent reserve with the Albany State University Library.

A. In a cooperative effort between the Department of Counseling, Advisement, and Placement Services and the Office of Human Resources Management, a Drug-Free Awareness Program is available to inform employees about the dangers of drug abuse in the workplace; the institutional drug-free workplace policy; available drug abuse assistance rehabilitation programs; and penalties that may be imposed for workplace violations.

803.0402 Drug-Free Schools and Communities Act of 1989

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B. The unlawful possession, manufacture, distribution, dispensation, and use of illicit drugs and alcohol by employees or students on the University campus is prohibited and violations of this policy will result in appropriate disciplinary action.

B. Penalties for violations of this policy and of applicable local, state, and federal statutes, range from warnings and probation to expulsion; loss of academic credit; suspension; temporary or permanent suspension and withdrawal of organization recognition; referral to the legal system for prosecution; demotion; and termination of employment.

B. Each employee will be provided a copy of the institutional policy statement. Two (2) copies of the policy statement are on permanent reserve with the Albany State University Library. This policy will be communicated to students through the Vice President for Student Affairs and to employees through the Vice President for Academic Affairs and the Director of Human Resources Management.

B. Employee questions concerning the health risks for use of illicit drugs and alcohol should be directed to the Counseling, Advisement, and Placement Services (CAPS) center. The telephone number of that center is 912-430-4667.

B. Services are offered through joint efforts of the CAPS Center, the Wellness Center, the Office of Human Resources Management, and the Department of Public Safety. These services include programs and information to educate and inform students and employees of the emotional, physical, and familial effects of substance abuse.

B. The CAPS Center is available to perform individual and group counseling for those students and employees with substance abuse problems. Group counseling includes sessions dealing with co-dependency, substance abuse awareness, and recovering support groups. Staff of the CAPS Center maintains a listing of referral agencies for off-campus assistance.

803.0403 Albany State University Alcohol Policy
Albany State University expressly prohibits the use, possession, sale or distribution of alcoholic

beverages on campus by any campus constituency. Alcoholic beverages may be served at offcampus

activities to adults of legal drinking age for the state in which the activity is being held, providing that a responsible club or organization representative acknowledges responsibility for monitoring alcohol consumption. Student activity funds or state funds may not be used for the purchase of alcoholic beverages. Albany State University is

committed to recognizing, upholding and enforcing the laws of the State of Georgia. Violation of those state laws, incorporated into the Albany State University Alcohol Policy, will not be condoned on the campus or at any activity held off campus by any constituency. Exceptions to the policy of no alcohol on campus may from time to time be permitted at the discretion of the President of Albany State University.

803.0404 Pre-employment Drug Testing

During the 1995 session of the Georgia General Assembly, legislation was passed which requires

the pre-employment drug testing of candidates selected for certain categories of state employment. O.C.G.A. 45-20-111 mandates that the head of each state agency, department, commission, bureau, board, college, university, institution or authority must conduct an analysis of all jobs to determine those positions whose duties/responsibilities warrant conducting an established test for illegal drugs.

O.C.G.A. 45-20-111 identifies examples of position functions that should be included in a

pre-employment drug testing program. Some of the examples specifically referenced include: **“law**

enforcement duties which include carrying weapons and utilizing arrest powers; administering medications; teaching hearing and vision impaired students . . . ; driving cars, trucks, vans, buses, and other types of vehicles on state roads and highways to

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transport patients, passengers and equipment; using heavy machinery and equipment; providing social work and counseling services often directly related to substance abuse difficulties; and . . . [providing] drug education, interdiction and counseling services.”

The State Merit System, in conjunction with the Attorney General’s Office, identified three (3)

categories of positions that should be included in a pre-employment drug testing program. The three

general categories identified are: (1) health, safety and security, (2) care and custody, and (3) access to controlled substances.

The Central Office of the Board of Regents requested that Albany State University analyze and identify those positions that should be included in the institution’s preemployment drug testing program. The list of specific positions and supporting

documentation, submitted by Albany State University to the Board of Regents, was reviewed and approved by the Attorney General's Office Individuals employed, either in a permanent or a temporary capacity, in institutionally designated categories will be subject to pre-employment drug testing.

803.040401 Definitions

A. For the purpose of this policy, "applicant" means a candidate who is offered public employment with any

agency, department, commission, bureau, board, college, university, institution, or authority of any branch of state

government.

A. "Established drug test" or "established test" means the collection and testing of bodily fluids

administered in a manner equivalent to that required by the Mandatory Guidelines for Federal Workplace Drug

Testing Programs (HHS Regulations 53 Fed. Reg. 11979, et seq., as amended).

A. "Illegal drug" means marijuana/cannabinoids (THC), cocaine, amphetamines/methamphetamines,

opiates, or phencyclidine (POP). The term "illegal drug" will not include any drug when used pursuant to a valid

prescription or when otherwise authorized by state or federal law.

A. "Position" means a set of duties and responsibilities assigned or delegated by competent authority for

performance by one person.

A. "Job" means a defined set of key responsibilities and performance standards encompassing one or

more positions sufficiently similar in responsibilities and performance standards to be grouped together.

A. "Medical Review Officer" means a properly licensed physician who reviews and interprets results of drug tests and evaluates those results together with medical history or any other relevant biomedical information to

confirm positive or negative results. The Medical Review Officer (MRO) will be selected by the Commissioner of the

Georgia Department of Human Resources (DHR) based on the individual's knowledge of substance abuse and

appropriate medical or forensic training.

803.040402 General Provisions

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B. Albany State University will conduct pre-employment drug tests of individuals selected for positions which, through an incumbent's performance of assigned tasks, may directly impact the health, safety and welfare of others.

B. Three (3) general categories of positions have been identified for inclusion in the Albany State University pre-employment drug testing program. Those general categories are: (1) health, safety and security, (2) care and custody, and (3) access to controlled substances.

B. Those positions at Albany State University that will be subject to pre-employment drug testing include:

(1) Director of Public Safety; (2) Public Safety Lieutenant; (3) Public Safety Sergeant; (4) Public Safety Officer; (5)

Public Safety Patroller; (6) Public Safety Dispatcher; and (7) positions in which a Commercial Driver's License (CDL)

is required.

B. Any new position(s) established by Albany State University and approved for inclusion on the University

System of Georgia Job Classification File, will be analyzed to determine if the new position(s) should be subject to

pre-employment drug testing. Such analysis will be conducted by the Director of Human Resources Management

and will occur within six (6) weeks of receipt of notification of Board of Regent approval.

B. An applicant who is offered employment with Albany State University in a position requiring a

pre-employment drug test will, prior to commencing employment or within ten (10) days after commencing

employment, submit to an established test for illegal drugs.

B. The Director of Human Resources Management will provide the applicant with the appropriate

pre-employment drug testing document that must be presented to collection facility personnel. The Director of

Human Resources Management will identify the name and location of the collection facility to be used.

B. The expense of pre-employment drug testing will be the responsibility of Albany State University.

B. An applicant will be considered as on duty for all the time necessary to undergo the pre-employment

drug testing process including such time as may be required, if any, for transportation to and from the sample

collection facility.

803.040403 Failure or Refusal of Pre-employment Drug Testing

A. Any applicant who is offered employment in a position requiring a pre-employment drug test and who:

- (a) declines to submit to an established test for illegal drugs; (b) fails to appear for an established test for illegal

drugs after being properly notified to do so; or © who tests positive for the use of illegal drugs will be disqualified

from employment with Albany State University.

A. Such disqualification will not be removed for a period of two (2) years from the date such test was

administered or offered, whichever is later.

A. The identity of any applicant who declines a pre-employment drug test, who fails to appear for a

pre-employment drug test, or who tests positive for illegal drug use, will not be considered a public record and will be

withheld from all persons except those who have a need for such information in their official capacity.

A. The results of pre-employment drug tests will remain confidential and will not be a public record unless

necessary for the administration of the provisions of O.C.G.A. 45-20-111 or otherwise mandated by other state or

federal law.

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- A. The Director of Human Resources Management will establish such policies as may be necessary to

assure the confidentiality of such information and to identify those individuals who are entitled to such information.

803.040404 Screening Results

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- B. Sample temperature outside the acceptable range of 90.5 through 99.8 degrees Fahrenheit, unusual appearance of the sample, or unusual behavior or appearance of the donor during the collection steps will constitute grounds for an observed collection of a sample. Such procedure will be conducted by a collection site facility representative of the same gender as the donor and will not be conducted unless the necessity for such has been confirmed by a supervisor of the site representative or other appropriate collection site personnel. Any other circumstances will require the approval of the Director of Human Resources Management.
 - B. An applicant whose sample is rejected by the testing laboratory will be directed to appear for retesting.
 - B. If the testing laboratory determines that the sample of an applicant may have been adulterated, the applicant will be directed to appear for retesting.
 - B. If an applicant, while at the collection facility, is unable to produce at least sixty (60) milliliters of urine after the procedures of the collection facility, the applicant will be directed to appear the next business day for retesting.
 - B. Any applicant who tests positive for the use of illegal drugs will be disqualified from employment with Albany State University. Such disqualification will not be removed for a period of two (2) years from the date such test was administered or offered, whichever is later.
- 803.040405 Medical Review Officer
- A. The testing laboratory will forward the results of all pre-employment drug tests to the State Medical Review Officer who will assure the security of such results.

A. The Medical Review Officer will forward negative results of a preemployment drug test to the State Merit

System, which in turn will notify Albany State University, as soon as is practicable.

A. Laboratory reports which indicate the presence of any illegal drug(s) will be retained by the Medical

Review Officer (MRO) until a final determination is reached. Such information will be confidential and will only be

available to the MRO or designee and the affected applicant. Positive laboratory results will be reviewed and

determinations of legal or illegal usage will be made in accordance with procedures established by the

Commissioner of the Georgia Department of Human Resources (DHR).

A. Any pre-employment drug test which indicates the presence of illegal drugs will be followed by a

confirmatory test using gas chromatography/mass spectrometry analysis. If the results of the confirmatory test

indicate the presence of illegal drugs, such results will be reviewed and interpreted by the MRO to determine if there

is an alternative medical explanation.

A. If the applicant provides appropriate documentation and the MRO determines that it was a legitimate

usage of the substance(s), the pre-employment drug test results will be reported as negative.

A. The MRO or designee will, upon receipt of a laboratory report indicating the presence of an illegal

drug(s), attempt to contact the applicant to establish a time at which a private discussion may be conducted

concerning the results of the pre-employment drug test. This process will be conducted consistent with the

provisions adopted by the State Merit System of Personnel Administration.

A. If an applicant expressly refuses to discuss with the MRO the results of a pre-employment drug test,

declines the opportunity to provide an explanation of the results, or admits to the usage of an illegal drug(s), the

MRO, without further action or review, will report to the Director of Human Resources Management that the results of

the pre-employment drug test indicate that the applicant has used an illegal drug(s).

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A. If after appropriate review, the MRO determines that the results of a preemployment drug test indicate

that an applicant has used an illegal drug(s), the MRO will, in writing, notify the affected applicant and the Merit

System. Such notification will include the specific drug(s) the applicant has been deemed to have illegally used. The

State Merit System will advise the Director of Human Resources Management of any such results.

803.0405 Random Drug Testing of High-risk Employees

State laws of Georgia require the random testing of University personnel identified as holding highrisk

positions. All University employees defined to hold “high-risk” jobs will be notified, in writing, at

the time of employment and provided a copy of the University’s policy governing this subject. In

addition, copies of the policy will be on permanent reserve with the Albany State University Library. Campus Law Enforcement Officers and maintenance employees working in “high-risk” jobs on a regular basis will be subject to random drug testing for evidence of use of illegal drugs:

- A. Campus Law Enforcement Officers include:
Campus Law Enforcement Officers who regularly perform “**high-risk**” work where inattention to duty or errors in judgment while on duty will have a potential for significant risk of harm to the employee, other employees, or the general public, and Campus Law Enforcement Officers employed by private organizations which contract with the University to provide security services, with such Officers subject to random drug testing procedures prescribed by their employer and consistent with this policy.
- B. For the purpose of this policy, “**high-risk**” is defined as any Classified Employee who is employed on a regular basis or a temporary basis as a Campus Law Enforcement Officer and who is required to be certified under the provisions of the Peace Officers Standards and Training Act (P.O.S.T.). A “high risk” employee will also include any P.O.S.T certified employee that is contracted to provide security services. Those who are engaged full-time in purely administrative or

clerical duties are excluded from the definition of “**high risk**” employee.

- C. “**Illegal drug**” means marijuana as defined in paragraph (16) of the Georgia Code Section 16-13-21, as amended; a controlled substance as defined in paragraph (4) of Georgia Code Section 16-13-71, as amended; or any other controlled substance or dangerous drug that persons are prohibited from using. The term “**illegal drug**” will not include any drug when used pursuant to a valid prescription or when otherwise authorized by state or federal law.
- D. “**Established drug test**,” “**drug screening**,” or “**drug test**” means the collection and testing of bodily fluids administered in a manner consistent with professionally valid procedures approved by the Commissioner of the Georgia Department of Human Resources (DHR).
- E. “**Medical Review Officer**” means a properly licensed physician who reviews and interprets results of drug screening and evaluates those results together with medical history or any other relevant biomedical information to confirm positive results. The Medical Review Officer (MRO) will be selected by the Commissioner of the Georgia DHR based on the individual’s knowledge of substance abuse and appropriate medical or forensic training.

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- F. “**Random testing**” for such employees of Albany State University will be performed in accordance with the regulations and procedures approved by the Board of Regents of the University System of Georgia. The drug screening program will give due consideration to the security of sample collection, chain of custody requirements, accuracy of testing and the confidentiality of results of tests of individuals deemed to have used illegal drugs.
- G. The expense of random drug screening will be the responsibility of Albany State University.

(BR Business Procedures Manual, Vol. 3A Revised, Sec. III. W.)

803.040501 Selection Procedures

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B. The pool subject to testing will include all positions designated as “**high risk**” by the Director of Human

Resources Management consistent with the policy definition of “**high risk**” position.

B. “**High risk**” campus law enforcement officers to be tested are chosen purely by lot by the Director of

Human Resources Management. Such testing will not, at any one time, be given to more than one officer on each

work shift who has been previously classified as a “**high risk**” employee.

B. Once each quarter, the Director of Human Resources Management, will select, at random, a sample of

positions from the pool subject to testing.

B. The Director of Human Resources Management will not notify in advance the individuals to be selected

for random screening. Individuals selected for random screening will report to an identified collection facility on the

same day that they are notified of their selection. The Director of Human Resources Management will identify the

name and location of the collection facility to be used.

803.040502 Screening of Incumbents

- A. The incumbent of the position selected, as of the effective date specified in the Notice of Selection, will be the employee subject to screening unless such individual is no longer employed in the department.
- B. If a position is vacant as of the effective date specified in the Notice of Selection, no incumbent screening for that position will be permitted.
- C. Should a selected position have more than one incumbent as of the specified effective date, all incumbents will be subjected to testing.
- D. If the incumbent of a selected position is on any form of paid or unpaid leave as of the effective date specified in the Notice of Selection and the incumbent returns to duty within thirty (30) calendar days of the effective date, such incumbent will be required to report to testing on the same day as his or her return to duty.

803.040503 Failure or Refusal of Drug Screening

- A. Any Campus law enforcement officer or other “**high-risk**” employee subject to testing in accordance with this policy and these procedures will, after compliance with the dismissal procedures of Albany State University for Classified personnel, be terminated from employment if he or she declines to submit to a random drug test, if he or she fails to appear for drug screening after being properly notified to do so, or if he or she tests positive for the use of illegal drugs.

- B. The identity of any campus law enforcement officer who declines a drug test, who fails to appear for drug screening, or who tests positive for drug use, will not be considered a public record and will be withheld from all persons except those who have a need for such information in their official capacity.
- C. The Director of Human Resources Management will establish such policies as may be necessary to assure the confidentiality of such information and to identify those employees who are entitled to the information.

803.040504 Screening Results

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- A. Sample temperature outside the acceptable range of 90.5 through 99.8 degrees Fahrenheit, unusual appearance of the sample, or unusual behavior or appearance of the donor during the collection steps will constitute grounds for an observed collection of a sample. Such procedure will be conducted by a collection facility site representative of the same gender as the donor and will not be conducted unless the necessity for such as been confirmed by a supervisor of the site representative or other appropriate collection site personnel. Any other circumstances will require the approval of the Director of Human Resources Management.
 - B. An employee whose sample is rejected by the testing laboratory will be directed to appear for retesting.
 - C. If the testing laboratory determines that the sample of an employee may have been adulterated, the employee will be directed to appear for retesting.
 - D. If an employee, while at the collection facility, is unable to produce at least sixty (60) milliliters of urine following the procedures of the collection facility, the employee will be directed to appear the next business day for retesting.
 - E. Any employee whose drug screening results indicate the use of illegal drugs will be terminated as provided in the dismissal procedures of Albany State University for Classified personnel.
- 803.040505 Medical Review Officer
- A. The testing laboratory will forward the results of all random drug screening to the State Medical Review Officer who will assure the security of such results.
 - B. The Medical Review Officer will forward negative results of random drug screening to the State

Merit System, which in turn will notify Albany State University, as soon as practicable.

- C. Laboratory reports indicating the presence of any illegal drug(s) will be retained by the Medical Review Officer (MRO) until a final determination is reached. Such information will be confidential and will only be available to the MRO or designee and the affected employee. Positive laboratory reports will be reviewed and determinations of legal or illegal usage will be made in accordance with procedures established by the Commissioner of the Georgia Department of Human Resources (DHR).
- D. The MRO or designee will, upon receipt of a laboratory report indicating the presence of an illegal drug, attempt to contact the employee to establish a time at which a private discussion may be conducted regarding the results of the random drug screening. This process will be conducted consistent with the provisions adopted by the State Merit System of Personnel Administration.
- E. If the employee expressly refuses to discuss with the MRO the results of the random drug screening, declines the opportunity to provide an explanation of the results, or admits to the usage of an illegal drug(s), the MRO, without further action or review, will report to the Director of Human Resources Management that the results of the random drug screening indicate that the employee has used an illegal drug(s).
- G. If after appropriate review, the MRO determines that the results of a random drug screening indicate that an employee has used an illegal drug(s), the MRO will, in writing, notify the

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affected employee and the State Merit System. Such notification will include the specific drug(s) the employee has been deemed to have illegally used. The State Merit System will advise the Director of Human Resources Management of any such results.

803.040506 Dismissal

- A. If an employee expressly refused to submit to drug screening, failed to appear for drug screening, failed the drug screening, or failed to appear upon receipt of documentation from the MRO that the results of a random drug screening indicate that an employee has used an illegal drug, the Director of Human Resources Management will notify the employee in writing of immediate termination of employment effective the date of the notice.
- B. If an employee has satisfactorily completed his or her six-month provisional employment period,

the employee will be afforded a right of appeal consistent with the provisions of Albany State University for classified employees.

803.040507 Disqualification From Employment

- A. Any employee whose employment is terminated due to express refusal to submit to drug screening, failure to appear for drug screening, or for screening results which indicates the use of illegal drugs, will be disqualified from employment with Albany State University for a minimum of two (2) years from the date of termination.
- B. Any individual so disqualified may file an appeal to the Board of Regents of the University

System of Georgia under Article IX of the Bylaws. Such appeal will be considered on the basis of the written record of the Albany State University Classified Employee Personnel Review Board, as provided in the Board of Regents' Business Procedures Manual, Volume 3A Revised, Personnel Policies and Procedures, Section II, paragraphs I and K (as amended on June 13, 1990), and Section III, paragraph W (added on June 13, 1990).

803.0406 Voluntary Disclosure of Drug Use

If prior to arrest for an offense involving a controlled substance, marijuana, or a dangerous drug, an employee notifies his or her Immediate Supervisor that he or she illegally uses a controlled substance, marijuana, or a dangerous drug and is receiving or agrees to receive treatment under a drug abuse and education program approved by the University President, such employee will be retained by the University for up to one year as long as the employee follows the treatment plan. Retention of such employee will be conditioned upon satisfactory completion of the program. The employee's work activities may be restructured if, in the opinion of the Immediate Supervisor, it is deemed advisable. No statement made by an employee to a supervisor or other person, in order to comply with this policy, will be admissible in any civil, administrative or criminal proceeding as evidence against the employee. The rights herein granted will be available to a University employee only once during a five-year period and will not apply to any such employee who has refused to be tested or who has tested positive for a controlled substance, marijuana, or a dangerous drug. This

policy is intended to implement The Drug-Free Public Work Force Act of 1990 (GA Laws, 1990, p. 1081) (BR Policy 803.0902).

803.0407 Drug and Alcohol Screening of University System
Employees Holding a Commercial
Driver's License (CDL)

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The Omnibus Transportation Employee Testing Act of 1991 requires alcohol and drug testing of safety-sensitive employees in the motor carrier industry, including employees of the University System of Georgia who hold a Commercial Driver's License (CDL). Rules mandating the implementation of controlled substance abuse and alcohol misuse prevention programs were published by the United States Department of Transportation in the **Federal Register** in February 1994. The legislative intent of the Act is to demonstrate a desire by the federal government to prevent accidents and injuries resulting from the misuse of alcohol and drugs by driver's and other persons performing safety-sensitive duties.

A copy of the United States Department of Transportation rules is available for review and inspection

in the Office of Human Resources Management.

In November 1995, Albany State University provided the Board of Regents a list of employees in positions which require a commercial driver's license (CDL). Effective December 1, 1995, those employees whose positions require a Commercial Driver's License are subject to the provisions of this statute.

The Americans with Disabilities Act (ADA) specifically authorizes employers, covered by the United

States Department of Transportation regulations, to require their covered employees and job applicants to comply with the drug and alcohol testing requirements established by the Omnibus Transportation Employee Testing Act of 1991.

Six (6) categories of screening are included in this program: (1) pre-employment, (2) random, (3) reasonable suspicion, (4) post-accident, (5) return to duty, and (6) follow-up. Screenings must indicate the absence of drugs and/or alcohol concentration of less than .02 percent.

Employees in positions which require a commercial driver's license (CDL) will be subject to disciplinary action, up

to and including termination, for testing **positive** for the presence of drugs and/or alcohol. The State of Georgia also passed a related statute identified as the "Uniform Commercial Driver's

License Act," Code 1981, Section 40-5-125. The purpose of this state statute is to implement the federal Commercial Motor Vehicle Safety Act of 1986, Title XII of Public Law 99-570, and reduce or

prevent commercial motor vehicle accidents, fatalities and injuries by permitting commercial drivers

to hold only one license; disqualifying commercial drivers who have committed certain criminal or

other offenses or serious traffic violations; and strengthening commercial driver licensing and testing

standards.

803.040701 Definitions

For the purpose of this policy, the term:

A. "**Alcohol**" means (a) beer, ale, port, or stout and other similar fermented beverages including sake or

similar products, of any name or description containing one-half of one [1] percent or more of alcohol by volume,

brewed or produced from malt, wholly or in part or from any substitute therefore; (b) wine of not less than one-half of

one [1] percent of alcohol by volume; © distilled spirits, which means that substance known as ethyl alcohol,

ethanol, or spirits of wine in any form . . . ; or (d) any substance containing any form of alcohol, including, but not

limited to, ethanol, methanol, propanol, and isopropanol.

A. "**Controlled substance**" means any substance so defined under Georgia Code Section 16-13-21 and

includes all substances listed in Schedules I through V of 21 C.F.R. Part 1308, as they may be revised from time to

time.

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A. **“Commerce”** means trade, traffic, and transportation within the jurisdiction of the United States;

between locations within a state; and between a location in the state and a location outside the state, including a

location outside the United States.

A. **“Commercial Driver’s License (CDL)”** means a license issued in accordance with the requirements of

this article to an individual which authorizes the individual to drive a class of commercial motor vehicle.

A. **“Commercial Motor Vehicle”** means a motor vehicle designed or used to transport passengers or

property: (a) if the vehicle has a gross vehicle weight rating of 26,001 or more pounds or such lesser rating as

determined by federal regulation; (b) if the vehicle is designed to transport sixteen (16) or more passengers, including

the driver; or © if the vehicle is transporting hazardous materials and is required to be placarded in accordance with

the Motor Carrier Safety Rules as prescribed by the United States Department of Transportation, Title 49 C.F.R. Part

172, sub part F.

A. **“Driver”** means any person who drives, operates, or is in actual physical control of a commercial motor

vehicle in any place open to the general public for purposes of vehicular traffic or who is required to have a

commercial driver’s license.

A. **“Employer”** means any person, including the United States, a state, or a political subdivision of a

state, who owns or leases a commercial motor vehicle or assigns a person to drive a commercial motor vehicle on

its behalf.

803.040702 General Provisions

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- B. Albany State University will conduct alcohol and drug screenings of individuals who occupy positions which require a Commercial Driver's License (CDL) consistent with the provisions of the Omnibus Transportation Employee Testing Act of 1991 and the directives of the Board of Regents of the University System of Georgia.
- B. Six (6) categories of screening are included in this program: (1) pre-employment, (2) random, (3) reasonable suspicion, (4) post-accident, (5) return to duty, and (6) follow-up.
- B. An applicant who is offered employment with Albany State University in a position requiring a Commercial Driver's License (CDL) will, prior to commencing employment or within ten (10) days after commencing employment, submit to an established test for drug and alcohol screening.
- B. The Director of Human Resources Management will provide the applicant with the appropriate alcohol and drug screening document that must be presented to collection facility personnel. The Director of Human Resources Management will identify the name and location of the collection facility to be used.
- B. The expense of alcohol and drug screenings will be the responsibility of Albany State University.
- B. An applicant will be considered as on duty for all the time necessary to undergo the alcohol and drug screening process including such time as may be required, if any, for transportation to and from the sample

collection facility.

803.040703 Selection Procedures

- A. Albany State University will make all selections of employees who occupy positions requiring a Commercial Driver's License (CDL) for random alcohol and drug screenings. The Director of Human Resources

Management, who also serves as the University's Drug-Free Workplace Coordinator, will be responsible for the

random selection process of individuals identified for alcohol and drug screenings.

A. The designated pool for random alcohol and drug screening tests will include all positions requiring a

Commercial Driver's License (CDL).

A. Employees in positions which require a Commercial Driver's License (CDL) that will be randomly tested

are chosen purely by lot by the Director of Human Resources Management.

A. Once each quarter, the Director of Human Resources Management, will select, at random, a sample of

positions in the designated pool. The Omnibus Transportation Employee Testing Act of 1991 requires that "the

number of employees selected for random testing must be sufficient to equal an annual rate of not less than twentyfive

(25) percent (initially) of the total number of employees subject to alcohol and drug screening tests."

- A. The Director of Human Resources Management will not notify in advance the individuals to be selected for random screening. Individuals selected for random screening will report to an identified collection facility on the same day that they are notified of their selection. The Director of Human Resources Management will identify the name and location of the collection facility to be used.

803.040704 Screening of Incumbents

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- B. The incumbent of the selected position as of the effective date of the random screening process will be the employee subject to screening unless such individual is no longer employed in the department.

B. If a position was vacant as of the effective date of the screening process, no incumbent screening for that position will be permitted.

B. If the incumbent of a selected position is on any form of paid or unpaid leave as of the effective date of the random screening process, and the incumbent returns to duty within thirty (30) calendar days of the effective date of the effective screening date, such incumbent will be required to report to testing on the same day as his or her return to duty.

803.040705 Failure or Refusal of Alcohol and Drug Screening

A. Any applicant who is offered employment in a position requiring a Commercial Driver's License and who:

(a) declines to submit to an established test for alcohol and drug screening; or (b) fails to appear for an established test for alcohol and drug screening after being properly notified to do so will be disqualified from employment with

Albany State University.

A. The identity of any applicant or employee in a position requiring a Commercial Driver's License (CDL)

who declines an alcohol and drug screening test, who fails to appear for an alcohol and drug screening test, or who

tests positive for alcohol and/or drug(s), will not be considered a public record. Such information will be withheld

from all persons except those who have a need for such information in their official capacity.

A. The results of alcohol and drug screening tests will remain confidential and will not be a public record

unless otherwise mandated by state or federal law.

A. The Director of Human Resources Management will establish such policies as may be necessary to

assure the confidentiality of such information and to identify those individuals who are entitled to such information.

A. Drug and alcohol screening will be conducted through a State contract which requires that the private

laboratory performing the services meets the rigorous standards for certification of the Department of Health and

Human Services, which include strict quality control procedures that prevent the mishandling of samples. The test is

based on a urinalysis, and the overall process encompasses three (3) separate stages before a specimen is

reported as positive.

- A. The first stage is a screening test. If the screening test indicates the presence of one or more controlled substances, a confirmatory test (second stage) will be performed on the sample using gas chromatography/mass spectrometry (GC/MS) analysis. GC/MS analysis ensures that over-the-counter medications are not reported as positive. The third stage is a review of the laboratory tests by a Medical Review Officer (MRO), a medical doctor who has received special training in toxicology and drug abuse.

803.040706 Screening Results

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- B. Sample temperature outside the acceptable range of 90.5 through 99.8 degrees Fahrenheit, unusual appearance of the sample, or unusual behavior or appearance of the donor during the collection steps will constitute grounds for an observed collection of a sample. Such procedure will be conducted by a collection facility site representative of the same gender as the donor and will not be conducted unless the necessity for such as been confirmed by a supervisor of the site representative or other appropriate collection site personnel. Any other circumstances will require the approval of the Director of Human Resources Management.
- B. An employee whose sample is rejected by the testing laboratory will be directed to appear for retesting.
- B. If the testing laboratory determines that the sample of an employee may have been adulterated, the employee will be directed to appear for retesting.
- B. If an employee, while at the collection facility, is unable to produce at least sixty (60) milliliters of urine following the procedures of the collection facility, the employee will be directed to appear the next business day for retesting.

B. Federal regulations require that alcohol tests be conducted using Evidential Breathing Testing devices

approved by the National Highway Traffic Safety Administration, and that tests must be conducted by a certified

Breath Alcohol Technician. Results of less than 0.02 percent alcohol concentration are considered **negative**.

B. If the concentration is 0.02 percent or greater, a second test will be conducted approximately twenty

(20) minutes later. If the second test shows that the concentration remains at 0.02 percent or greater, an employee

in a position requiring a Commercial Driver's License (CDL) **will be removed from his or her safety-sensitive**

duties for a minimum of twenty-four (24) hours.

B. If the confirmation test indicates a concentration of 0.04 percent or higher, the regulations require **that**

the employee be evaluated by a Substance Abuse Professional and comply with any recommendations

for treatment before the employee can return to work. Other disciplinary actions, up to and including

termination, may be imposed by Albany State University.

B. If the results of a drug test are positive, an employee with a Commercial Driver's License (CDL) will be

dismissed from his or her job. If an employee with a Commercial Driver's License (CDL) refuses to submit to either

drug or alcohol screening, or fails to appear for required screening after being directed to do so, that employee will be

dismissed. If an alcohol test indicates a concentration of 0.02 percent or greater, the minimum penalty will be

temporary removal of the employee from his or her safety-sensitive duties for a minimum of twenty-four (24) hours.

Other disciplinary actions, up to and including termination, may be imposed by Albany State University.

803.040707 Medical Review Officer

A. The testing laboratory will forward the results of all random alcohol and drug screenings to the Medical

Review Officer (MRO) who will assure the security of such results. The Medical Review Officer (MRO) will review the

chain of custody to ensure that there is no possibility that the sample was tampered with at the collection site,

during transport to the laboratory, or while at the laboratory.

A. The Medical Review Officer will forward negative results of random alcohol and drug screens to the State

Merit System, which in turn will notify Albany State University, as soon as practicable.

A. Laboratory reports indicating the presence of any illegal drug(s) or above acceptable legal levels of

alcohol concentration, will be retained by the Medical Review Officer (MRO) until a final determination is reached.

Such information will be confidential and will only be available to the MRO or designee and the affected employee.

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Positive laboratory reports will be reviewed and determinations of legal or illegal usage will be made in accordance

with established procedures.

A. The MRO or designee will, upon receipt of a laboratory report indicating the presence of an illegal drug,

attempt to contact the employee to establish a time at which a private discussion may be conducted regarding the

results of the random drug screening. This process will be conducted consistent with the provisions adopted by the

State Merit System of Personnel Administration.

A. If the employee expressly refuses to discuss with the MRO the results of the random alcohol and drug

screening, declines the opportunity to provide an explanation of the results, or admits to the usage of an illegal

drug(s), the MRO, without further action or review, will report to the Director of Human Resources Management that

the results of the random alcohol and drug screening indicate that the employee has used an illegal drug(s).

A. If after appropriate review, the MRO determines that the results of a random alcohol and drug screening

indicate that an employee has used an illegal drug(s), the MRO will, in writing, notify the affected employee and the

State Merit System. Such notification will include the specific drug(s) the employee has been deemed to have

illegally used. The State Merit System will advise the Director of Human Resources Management of any such

results.

- A. Information provided to the Medical Review Officer (MRO) regarding an employee's medical history or valid prescriptions will be held in strictest confidence.

803.040708 Dismissal

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- B. If an employee expressly refused to submit to alcohol and drug screening, failed to appear for alcohol and drug screening, failed the drug screening, or failed to appear upon receipt of documentation from the MRO that

the results of a random alcohol and drug screening indicate that an employee has used an illegal drug, the Director

of Human Resources Management will notify the employee in writing of immediate termination of employment

effective the date of the notice.

- B. If an employee has satisfactorily completed his or her six-month provisional employment period, the

employee will be afforded a right of appeal consistent with the provisions of Albany State University for Classified

Employees.

803.040709 Additional Requirements Imposed by Georgia Statute Code 1981, Section 40-5-125

- A. SECTION 40-5-144. Notice Required of Driver When Convicted of Violating Certain Laws or When

License is Suspended, Revoked, or Canceled; Information Required of Applicant for License:

- A. Any driver of a commercial motor vehicle holding a license issued by this state who is convicted of

violating any state law or local ordinance relating to motor vehicle traffic control . . . , other than parking violations,

shall notify the Department of Public Safety within 30 days of conviction. If the Court notifies the Department of Public Safety of such a conviction, the responsibility of the driver shall be waived.

A. Any driver of a commercial motor vehicle holding a license issued by this state who is convicted of

violating any state law or local ordinance relating to motor vehicle traffic control . . . , other than parking violations,

shall notify his or her employer in writing within 30 days of conviction.

A. Each driver whose license is suspended, revoked, or canceled by any state; who loses the privilege to

drive a commercial motor vehicle in any state for any period; or who is disqualified from driving a commercial motor

vehicle for any period of time **shall notify his or her employer** of the fact before the end of the business day

following the day the driver received notice of the fact.

A. Each person who applies to be a commercial motor vehicle driver shall, at the time of the application,

provide the employer with the following information for the ten (10) years preceding the date of the application: (1) a

list of the names and addresses of the applicant's previous employers for which the applicant was the driver of a

commercial motor vehicle; (2) the dates between which the applicant drove for each employer; and (3) the reason for

leaving that employer.

A. SECTION 40-5-151. Disqualification from Driving; Action Required After Suspending, Revoking, or

Canceling License . . . :

A. Any person is disqualified from driving a commercial motor vehicle for a period of not less than one (1)

year: (1) if convicted of a first violation of: (a) any offense specified in Code Section 40-5-54 that occurs while the

person is driving or being in actual physical control of a moving commercial vehicle; or (b) driving or being in actual

physical control of a moving commercial motor vehicle while there is .04 percent or more by weight of alcohol in his

or her blood, breath, or urine; and (2) for refusal to submit to a test as prescribed by statute to determine the driver's

alcohol concentration while driving a commercial motor vehicle.

A. Any person is disqualified from driving a commercial motor vehicle for a period of not less than three (3)

years if convicted of a first violation of using a commercial motor vehicle in the commission of a felony . . .

A. SECTION 40-5-153. Implied Consent to Chemical Test:

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Any person who drives a commercial motor vehicle anywhere in the state shall be deemed to have given consent, subject to the provisions of Code Sections 40-5-55 and 40-6-392, to a test or tests of that person's blood, breath, or urine for the purpose of determining that person's alcohol concentration or the presence of other drugs.

803.05 SAFETY AND ACCIDENT PREVENTION

Employees should make every effort to develop and practice safe working habits for themselves and

to create a safe work environment for those around them. Too often safety is thought of only in

terms of the Plant Operations area; this attitude alone can prove dangerous. Every year numerous

accidents occurring in office areas caused by lower file cabinet drawers left open, electrical cords

strung across walkways to be tripped over, and other careless acts are reported to the National

Safety Council from across the country. Understandably, the probability of accidents occurring is

greater among Plant Operations workers, but everyone should make a conscious effort to minimize

campus accidents.

Employees should use all required safety equipment when performing their duties, observe area work rules and, upon detection, report all hazardous conditions to their Supervisors.

803.0501 Application

The safety of employees is a matter of vital concern to Albany State University. It is the policy of

the University to provide the safest possible working conditions for all employees; to require no

employee to perform a hazardous task with which he or she is not familiar and in which there is not

proper close supervision and proper instruction; and to make available where necessary, special equipment and clothing to protect employees against particular hazards.

803.0502 Responsibility

- A. On-the-job safety is the joint responsibility of both the employee and the supervisor or department head.
- B. All employees are expected to perform their duties in a safe manner. An employee should make every effort to avoid careless work habits; to wear proper safety attire as may be required; and to report unsafe working conditions to one's immediate supervisor or department head.
- C. The department head or supervisor is basically responsible for accident prevention and safety within his or her department. The department head or supervisor, therefore, has the following responsibilities:
 - 1. To establish and actively enforce rules and procedures pertaining to accident prevention and safety;
 - 2. To detect and eliminate, or to report for attention, all physical hazards;
 - 3. To insist on the proper use and maintenance of machines, tools, equipment and physical facilities;
 - 4. To make certain every employee is fully informed about hazards to which he or she may be exposed, and to demonstrate the proper and safe way to do the job;

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- 5. To continually conduct on-the-job safety training and to make regular checks for unsafe practices; and
- 6. To follow the guidelines for reporting on-the-job injuries to the Department of Public Safety.

803.0503 Safety and Accident Prevention Efforts

A department head or supervisor should consider conducting or requesting assistance in conducting

timely inspections of the facilities and equipment to determine possible safety hazards; to review past reports of employee accidents/injuries; and to implement preventive measures that can be identified to minimize on-the-job injuries.

803.0504 Georgia Public Employees Hazardous Chemical Protection and Right-to-Know Act of

1988

- A. The State of Georgia Public Employee Right-to-Know Act ensures that all public employees are accorded certain rights regarding hazardous chemicals in their workplace. Employees have both a need and a right-to-know the identities and hazards of the chemicals they use on the job.
- B. Albany State University has designated a Right-to-Know Coordinator and developed a Hazardous Chemical Protection Communication Plan document. The Right-to-Know program informs employees of chemical hazards in the work place and how to protect against these hazards.
- C. Some of the identified responsibilities of the Director of Environmental Health and Safety include:
 - 1. to make arrangements and/or to provide appropriate and adequate Right-to-Know training for all employees of Albany State University;
 - 2. to ensure that a written work place-specific hazard communication plan is developed for each workplace in the University. This work place-specific program will include a list of hazardous chemicals used or stored in that particular work place, and will be available to all employees in the work place;
 - 3. to distribute updated Material Safety Data Sheets (MSDS) for those hazardous chemicals used in a specific work place area. This information must be made accessible and available for employees in these respective areas;
 - 4. to ensure that employees are made aware of and are properly trained in the uses and hazards associated with the chemicals to which they are exposed in their work area;
 - 5. to ensure that employee training and notification concerning the use of hazardous chemicals in the work area are adequately documented in each employee's personnel file;
 - 6. to ensure that employees are provided with personal protective equipment appropriate to each work environment, and receive adequate training in the use and maintenance of this equipment; and
 - 7. to accumulate hazardous chemical inventory information for the University.

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- D. There will be two levels of employee training to afford compliance with the requirements of the Right-to-Know legislation.

1. **BASIC TRAINING** will be given to all employees. This training will provide an overview of the hazardous chemical protection laws, regulations and policies currently in place in the University System. A summary of employee rights will be discussed. Individual employee questions will be addressed and any additional Right-to-Know policies that may be established will be presented.
2. **CHEMICAL SPECIFIC TRAINING** will be provided only to employees who routinely handle or are exposed to hazardous chemicals/materials. This type of training will be coordinated by the Director of Environmental Health and Safety.
- E. Information concerning training programs for Albany State University employees will be disseminated by the "Right to Know" Coordinator.
- F. The "Right to Know" Coordinator may be contacted at:
Office: ACAD Building, Room 228
Telephone: 912-430-4811
FAX: 912-430-4765
803.0505 Respiratory Protective Devices
- A. Albany State University has identified specific positions within the University that may be subject to occupational medical examinations. Medical examinations will be conducted on individuals required to use respiratory protective devices during the performance of their assigned job duties and responsibilities.
- B. Individuals employed as painters, carpenters, air conditioning mechanics, electricians, skilled labor maintenance workers, and grounds maintenance personnel responsible for pesticide/herbicide applications will be subject to respiratory protective device medical examinations. Other classifications of positions may be added to this list, if deemed appropriate, by the Director of Human Resources Management and the Director of Plant Operations. The cost for an occupational medical examination will be the responsibility of Albany State University.
- C. Employees in identified positions will receive an annual comprehensive surveillance examination (with emphasis on the cardiovascular system, blood pressure and completion of a pulmonary history questionnaire) and a pulmonary function/spirometer test. The medical examination will be conducted by a Board Certified Occupational Medicine physician.
- D. The physical examination and spirometer test, along with chest X-rays and/or EKG if requested by the attending physician, will afford compliance with OSHA regulations concerning employees who use respiratory protective devices.

803.06 NEPOTISM - EMPLOYMENT OF RELATIVES

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- 803.0601 The basic criteria for the appointment and promotion of Albany State University employees shall be appropriate qualifications and performance as set forth in these policies. Relationship by family or marriage shall constitute neither an advantage nor a disadvantage.
- 803.0602 No individual shall be employed in a Department or Unit if the employment results, through any line of authority, in a subordinate-superior relationship between such individual and any relative. "Line of authority" shall mean authority extending vertically through one or more organizational levels of supervision or management.
- 803.0603 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 preceding.
- 803.0604 Section 803.0602 of this Manual will not apply to:
Temporary or part-time employment of children under age 25;
Any individual employed as of February 14, 1990, where a relative of such individual then holds a superior position at least one level of supervision removed from such individual in any line of authority; or
Exceptions approved by the Board of Regents upon recommendation of the Chancellor as being clearly in the best interest of the University and the University System.
- 803.07 CONDITIONS OF EMPLOYMENT The following actions are required of all employees as conditions of employment:
- 803.0701 State Security Questionnaire
Completion of the State Security Questionnaire for all persons employed for thirty or more days is required. This form will be prepared and filed in the Personnel records in the Office of Human Resources Management.
- 803.0702 Withholding Tax Forms
Federal and Georgia withholding tax forms must be completed.
- 803.0703 Forms for Membership in Retirement System(s)
Completion of applications for membership in the Teachers Retirement System, the Regents' Retirement Plan or the Georgia Defined Contribution Plan, when applicable, is required. (BR Policy 802.04)
- 803.0704 Pre-Employment Drug Testing

Applicants for the following positions are required to submit to a test for illegal drugs prior to commencing employment or within ten (10) days of commencing employment:

- (A) Public Safety Officer,
- (B) Security Guard, or

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- (C) Bus Drivers or Individuals hired to drive vehicles that transport 10 or more passengers.

All cost of such testing will be paid from public funds by the University.

An applicant offered employment who refuses to submit to an established test or whose test results

are positive shall be disqualified from employment by the State.

803.08 GRATUITIES

An employee of Albany State University shall not accept gratuities, courtesies, or gifts in any form

from any person or persons, corporations, or associations that, directly or indirectly, may seek to

use the connection for securing favorable comment or consideration on any commercial commodity,

process or undertaking.

803.09 EMPLOYMENT OF ALIENS

Any Department/Unit of Albany State University needing to employ an alien must notify the Office of

Human Resources Management prior to a commitment to the prospective employee. The Director

of Human Resources Management will assist the Department/Unit staff in preparing a certification

that the services to be performed by the alien do not involve direct participation in the formulation,

execution or review of broad public policy and that United States citizenship does not bear some

rational relationship to the special demands of the position to be filled by the alien. This certification

shall be sent under the signature of the President of the University to the Chancellor, Board of Regents, with his recommendation for employment of an alien (BR Policy 802.05).

803.10 CONFLICT OF INTEREST

803.1001 Outside Activities

An employee of Albany State University should avoid actual or apparent conflict of interests between his or her University obligations and his or her outside activities (BR Policy No. 802.16).

803.1002 Occupational Activities

- A. An employee of Albany State University shall not engage in any occupation, pursuit, or endeavor which will interfere with the regular and punctual discharge of official duties.
- B. All full-time Faculty, Administrators, and other Professional Staff members employed by Albany State University are expected to give full professional effort to their assignments of teaching, research, and service.
- C. 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) a means of personal professional development; (2) service to the Community, State or Nation; or (3) consistency with the objectives of Albany State Albany State University.
- D. 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 University President or his or her designee prior to engaging in the activities. Such activities include consulting, teaching, speaking, and participating in business or service enterprises.

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803.1003 Political Activities

As responsible and interested citizens in a democratic society, employees of Albany State

University are encouraged to fulfill their civic obligations and otherwise engage in the normal political

processes of society. 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 or she receives compensation from the University;
- B. Employees may not hold elective political office at the State or Federal level;

- C. 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.
- D. 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 University. (BR Policy No. 802.1603)

803.11 WITHHOLDING OF PAY

As a condition of employment at Albany State University, the University is authorized to 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 University.

803.12 COOPERATION IN INTERNAL INVESTIGATIONS 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, an employee of Albany State University shall cooperate to the fullest extent possible in any internal investigation conducted by his or her employment unit. 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. (BR Business Procedures Manual, Vol. 3A Revised, Sec. III. V.)

803.13 DISRUPTIVE BEHAVIOR

Any Student, Faculty member, Administrator, or Employee, acting individually or in concert with

others, who clearly obstructs or disrupts, or attempts to obstruct or disrupt any teaching, research,

administrative, disciplinary, or public service activity, or any other activity authorized to be

discharged or held on the campus of Albany State University is considered by the University to have

committed an act of gross irresponsibility he or she shall be subject to disciplinary procedures, possibly resulting in dismissal or termination of employment.

803.14 APPEALS

The President of the University shall within ten (10) working days after written request appoint, or

have appointed in accordance with the approved and published grievance procedures, an impartial

Board of Review to hear appeals from employees, excluding those employed in provisional status,

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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 Chairperson to participate in the hearing if it appears that the hearing will 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 twenty (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 IX of the Bylaws of the Board of Regents. The Grievant may be represented by an advisor or an attorney during the appeal process to the Board of Regents. Section 808.03, Employee Grievances, of this Manual gives detailed procedures. (BR Policy No. 201.08)

803.15 HOLIDAYS

As authorized by the Board of Regents, the University shall establish for employees of the

University twelve (12) official paid holidays each calendar year. These holidays shall be awarded in

addition to earned vacation time, and shall be observed in accordance with the rules and regulations

set forth by the University. A terminating employee shall not be paid for any official holidays

occurring after the last working day of employment. As soon as practicable at the beginning of

each calendar year the Office of the Vice president for Fiscal Affairs and/or the Director of Human

Resources Management will notify employees by memorandum of the specific dates for holidays as

approved by the University President (BR Policy No. 802.07).

803.16 GARNISHMENT OF WAGES

All employees of Albany State University are subject to various State laws governing garnishment of

wages. In any case where the University receives a “Summons of Garnishment” the Office of

Human Resources Management will promptly notify the named employee, record the time and date

of service, and comply with all requirements of the summons (computing and finalizing payroll withholding(s), delivering answer(s) of garnishee and the proper checks, etc.).

803.17 CONFORMITY WITH FEDERAL REQUIREMENTS All employees of Albany State University are required to comply with any and all requirements, laws, and regulations, as specified by Federal Departments from which Federal grants, contracts, and other awards are received for the University. Should there be a conflict in the policies and procedures of this Manual with any requirements of the terms of such grants, contracts, and other awards, the Vice President for Fiscal Affairs or the Director of Human Resources Management will

be responsible for resolving the conflict. Any Faculty member or other employee discovering such conflict is responsible for notifying the Vice President for Fiscal Affairs and requesting guidance in the matter.

803.18 EMPLOYEES AFFECTED BY REORGANIZATION, PROGRAM MODIFICATION OR FINANCIAL EXIGENCY

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Employees who are terminated, demoted, or otherwise adversely affected by reorganization, program modification, or financial exigency, as approved or determined by the President of the University or his or her designee, shall not be governed by the procedures described in Section

804.10 (Dismissal, Demotion or Suspension) of this Manual and Section 803.14 (Appeals). 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.

803.1801 Financial Exigency

The Board of Regents' policy on Financial Exigency is presented below verbatim and becomes a policy of Albany State University and a part of this Manual:

“Anything in the Policies of the Board of Regents to the contrary notwithstanding, if the Board of Regents finds that a condition of Financial Exigency exists either at an institution, within an academic or other unit of an institution, or in the University System generally, then the layoff or termination of tenured faculty, non tenured faculty or other contract employees before the end of their contract term, will be handled in accordance with the Financial Exigency policy set forth below. As used herein, the term ‘unit’ means any identifiable component of the System at any level of its organization which has an annual budget for the operation of such component.

“DEFINITION OF FINANCIAL EXIGENCY

“Financial exigency occurs when circumstances cause a shortfall in projected revenues for general operations as compared with projected expenditures over the same period and such shortfall would have a material adverse effect on the operation of either an institution, an academic or other unit of an institution or the System generally. In the event of reduced appropriations, declining enrollments, or other actions or events that compel a reduction in the System’s or an institution’s current operations budget, the Board of Regents may, in its exercise of fiscal responsibility, decide to reduce the operation of, to modify or to close one or more institutions of the System. Such reductions, modifications, or closings may require the reduction of salaries, layoffs or terminations of tenured faculty, non-tenured faculty or other contract employees before the end of their contract term.

“Any response to a financial exigency shall be developed with the understanding that action taken will be consistent with the basic mission of the System to provide the best possible education for its students. The System shall make reasonable efforts to insure that students affected will be allowed to complete their programs, within the limits of budgetary constraints, at the institution or by transfer to another unit of the System.

“The determination of the existence and extent of a financial exigency affecting the System or any institution or within an academic or other unit of an institution shall be the sole responsibility of the Board of Regents, but the President of an institution, after consultation with representative faculty members, may request such a determination by the Board. A request for the declaration of a financial exigency at any level below the institution level must originate at the institution. When such determinations are made, this policy, along with approved implementing procedures, will take precedence over those applicable Board policies which govern normal operating procedures. The president of each institution shall follow implementing procedures prescribed by the Chancellor.

“LAYOFF OR TERMINATIONS

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“The term *layoff*, as used in this policy, is defined as the temporary dismissal of any employee, including tenured faculty members or non tenured faculty or other contracted employees, before the end of their contract term. Layoffs or terminations may occur within an academic unit or other unit of an institution without a net loss of faculty members or other personnel at the institution; that is, layoffs or terminations in some academic or other units may occur with simultaneous authorization of new positions for different duties in academic or other units depending upon the needs of such units. The president of each institution, after consultation with faculty and staff, shall determine whether layoffs or terminations are required and which employees will be affected. This determination shall be made in accordance with the procedures established by the Chancellor, which will give primary consideration to the maintenance of a sound and balanced educational program that is consistent with the functions and responsibilities of the institution.

“Faculty and other employees under contract who are laid off or terminated before the end of their contract term for reasons of financial exigency shall, whenever possible, be notified at least ninety (90) days in advance of the date of layoff or termination. The notice of layoff or termination shall be delivered personally or by certified mail, with return receipt requested. This notice shall include, in writing, a statement of the conditions requiring layoff or termination, a general description of procedures followed in making the decision and a statement of the employee’s right to respond orally and in writing to the appropriate official at the institution as to the reasons for the layoff or termination. The employee(s) shall also have the right, upon written request within twenty (20) days from the date of the final decision of the President, to apply to the Board of Regents for a review of the President’s decision in accordance with the provisions of Article IX of the Bylaws of the Board.

“PROGRAM MODIFICATION OR DISCONTINUANCE IN THE EVENT OF FINANCIAL

EXIGENCY

“Anything in the Policies of the Board of Regents to the contrary notwithstanding, if the Board of Regents finds that a condition of financial exigency exists either at an institution, within an academic unit or other unit of an institution or in the System as provided in Section 805.01, then program modifications or discontinuances recommended by the Chancellor and approved by the Board may be made at any such institution, within an academic or other unit of any such institution or the System generally. If any such program modifications or discontinuances involve the layoff or termination of any tenured faculty, non-tenured faculty or other contract employees, before the end of their contract term, the provisions of Section 805.02 shall apply to any such layoffs or termination.”

(BR Policy No. 805)

803.19 EXTRA COMPENSATION TO EMPLOYEES ON UNIVERSITY PAYROLL

Any employee receiving extra compensation from the University for personal services, as defined in

Sections 804.08, 805.1403, 805.1404, 805.1405, and 805.1406 or for personal services for any other purpose will be paid such extra compensation through the University payroll system. Such compensation, when paid through the payroll system, shall be subject to existing Internal Revenue Service regulations and other Federal and State regulations as to taxability, withholding taxes, F.I.C.A., unemployment taxes, fringe benefits and the like. Conversely, no compensation referenced above which is paid to an employee of the University who is on the University payroll, shall be paid as Per Diem and Fees.

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803.20 THE AMERICANS WITH DISABILITIES ACT (ADA)
Public Law 101-336, the Americans With Disabilities Act (ADA), became effective July 26, 1992 for employers with 25 or more employees. The ADA gives civil rights protection to individuals with disabilities. It guarantees equal opportunity for this protected group in the areas of public accommodations, employment, transportation, state and local government services, and telecommunications.

Albany State University, a member of the University System of Georgia, does not discriminate on the basis of race, color, national origin, sex, religion, age or disability in employment or provision of services. Albany State University does not discriminate on the basis of disability in the admission or access to, or treatment or employment in, its programs or activities. In April of 1992, the Department of Human Resources Management prepared and distributed a Training/Reference Guide detailing the provisions of the ADA and the employer's responsibilities under the ADA. Guides were provided to all Deans, Directors, and Department Heads. Additional copies are available for review in the University Library and in the Office of Human Resources Management.

Job duty information questionnaires on each classified position have been prepared and are on file in

the Office of Human Resources Management. These questionnaires identify essential job functions

and minimum position requirements. There will be no recruitment activities for a vacant position

until a job duty information questionnaire has been completed and is on file with the Office of Human

Resources Management.

Telecommunication Devices for the Deaf (TDD's) have been installed in numerous offices around the

campus. Persons having the need for use of a TDD's, should contact either the Director of Human

Resources Management at telephone number 912-430-4623 or the Coordinator of Disabled Student

Services in the administrative area of the Vice President for Student Affairs..

The following administrative officials have been designated by the President to provide assistance

and ensure compliance with the provisions of the Americans with Disabilities Act (ADA):

Coordinator of Disabled Student Support Services, as the ADA Compliance Officer (for students) and the 504 Coordinator (for students);

Director of Plant Operations, as the ADA Compliance Officer (for facilities); and Director of Human Resources Management, the ADA Compliance Officer (for employment) and the 504 Coordinator (for employees).

803.21 DEPOSITIONS OF STATE EMPLOYEES REGARDING STATE EMPLOYMENT

- A. If an employee is requested or subpoenaed to give a deposition in lawsuits or other matters which are related to his or her employment, the employee should notify the Attorney General's Office immediately by telephone at (404) 656-4585 or in writing (Attorney General, Judicial Building, State Capitol, Atlanta, GA 30334).
- B. An employee should also notify the Office of Human Resources Management and his or her respective department head in the event of such a request or subpoena.

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803.22 CONFIDENTIAL RECORDS AND INFORMATION

Many employees will have access to confidential records and information in their regular work assignments. Privileged and confidential information must not be shared with unauthorized personnel or individuals.

Employees who violate confidentiality will be subject to appropriate disciplinary action.

803.23 CREDIT INQUIRIES

No information concerning the rate or amount of compensation of any employee will be revealed to

credit bureaus, loan companies, merchandising concerns, etc., without the written authorization of the employee.

803.2301 Procedure

- A. All credit inquiries, signed and authorized by an employee, will be referred to the Office of Human Resources Management.
- B. A copy of all documents signed and authorized by an employee concerning credit inquiries will be placed and retained in an employee's individual personnel file.

803.24 STATE BUSINESS TRANSACTION DISCLOSURE REPORT

- A. All business transacted with the State of Georgia, or with any agency of the State of Georgia, by a public official or a state employee must, under certain conditions, be disclosed to the Office of the Secretary of State.
- B. If a public official or a state employee transacts business with the State of Georgia, or with an agency of the State of Georgia, and that individual has a substantial personal or family interest in the business transacted with the State, a disclosure report must be filed.
- C. **A public official or a state employee will not be required to file a disclosure report if: (1) the amount of each individual transaction is less than \$250; and (2) the aggregate of all transactions does not exceed \$9,000 per calendar year.**
- D. Disclosure reports must be filed with the Office of the Secretary of State on or before **January 31** each year for business transactions during the preceding calendar year.
- E. Transaction disclosure reports may be obtained from the Office of the President.

804 GENERAL POLICIES FOR CLASSIFIED PERSONNEL

804.01 EMPLOYMENT APPLICATIONS

804.0101 Process

Each person formally applying for a classified position at Albany State University must complete an application. The application will be kept on file in the Office of Human Resources Management.

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804.0102 Disqualifications of Candidate

A candidate will be disqualified for employment for any of the following reasons:

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B. Conviction of a criminal drug offense, thus disqualifying a candidate for not less than two years. (Any

candidate who has been convicted of a second or subsequent criminal drug offense shall be ineligible for

employment or re-employment for a period of five years from the most recent date of conviction);

B. Any false statement of material fact in the application;

B. Membership (present or previous) in an organization advocating the violent overthrow of the government

of the United States; or

B. Conviction of a felony or a crime involving moral turpitude, unless the applicant has been pardoned.

(BR Business Procedures Manual, Vol. 3A Revised, Sec II. B.)

804.02 (NOT USED)

804.03 EMPLOYEE ORIENTATION

The Office of Human Resources Management is responsible for conducting an employee orientation

for each newly hired classified employee at Albany State University. This orientation, as a minimum, will include the following:

Familiarization with the contents of Section 800, Human Resources Management, of this Manual;

Explanation of vacation and leave benefits, insurance benefits, retirement benefits, work week and hours of work, and grievance procedures;

Reading and explanation of employee's Position Description or other appropriate statement of duties and responsibilities of the job; and Statement, in writing, of conditions of employment and compensation (BR Policy No. 802.06).

804.0301 Certification of Attendance

A statement signed by the new employee certifying the accomplishment of the orientation and its contents will be made a part of his or her permanent personnel files.

804.04 PROVISIONAL APPOINTMENT

All Classified Employees of Albany State University are required to serve the first six months of employment with the University on a provisional basis to provide the University an opportunity to evaluate their performance. If the work of an employee is satisfactory, employment will continue.

Should the work not be satisfactory, the employee will be notified in writing prior to the completion

of the six months provisional period, and the employee may be terminated at that time without right

of appeal or any of the procedural protection provided for in this Manual. (BR Business Procedures

Manual, Vol. 3A Revised, Sec. II. C.).

804.05 POSITION CLASSIFICATION SYSTEM

All Classified Employees of Albany State University, upon employment, become a part of the Board of Regents' Position Classification System. This system is a University-wide personnel program used to help provide equity in the classification and compensation of Classified Employees. The

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classification system is designed to define and designate groups of positions that have similar duties, that require similar training and experience at the time of recruitment, and that may be compensated at the same general levels of pay.

The Central Office of the Board of Regents maintains a catalogue of personnel classification

specifications. All Albany State University positions in employment categories designated as

“Professional and Administrative” and “Regular Staff” will be classified in accordance with the Class

Specifications Catalogue approved and on file with the Central Office of the Board of Regents of the

University System of Georgia. In any case where Albany State University has positions which are

not properly described within this Class Specifications Catalogue, the Office of Human Resources

Management will propose class specifications and pay scales for submission, consideration and/or

approval by the Central Office of the Board of Regents.

To ensure compliance with the provisions of the Americans With Disabilities Act (ADA), a

completed position classification questionnaire must be on file with the Office of Human Resources

Management prior to the initiation of position recruitment efforts. **Position classification questionnaires must be completed for both permanent and temporary position vacancies.**

The position classification questionnaire will identify essential job functions and requisite skills/education/training necessary for an acceptable level of job performance.

804.0501 Establishing a New Position

A. Policy

Classification of a new position will normally be accomplished on or before April 1 of each year for inclusion in the next fiscal year’s budget. Exceptions will be made when new positions are to be established as a result of new grant awards or major unforeseen program changes. All new positions will be classified by the Office of Human Resources Management prior to being reflected in the institutional budget and/or prior to any recruitment actions to fill the position.

B. Procedure

1. The hiring department first must complete a position classification questionnaire.

Appropriate position classification questionnaire forms for both exempt (Professional/Administrative Staff) positions and nonexempt (Regular Staff) positions may be obtained from the Office of Human Resources Management. Upon completion, the hiring department must submit the position classification questionnaire to the Office of Human Resources Management so that an appropriate classification title and pay grade may be assigned.

2. A written classification action memorandum will be prepared by the Office of Human Resources Management which will identify the approved position title, institutional pay grade, classification code and base salary. Copies of the classification action memorandum will be forwarded to the Vice President for Fiscal Affairs and to the appropriate Dean, Director and/or Department Head.
3. The classification action memorandum serves to verify that a job audit has been conducted and that a position classification has been assigned. It **does not** serve as an authorization

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for recruitment activities. The two types of new positions are handled according to the following:

- (i) If a new position is to be established as the result of a new grant award or an approved reorganization within a unit, a Personnel Request form must be completed and approved by the appropriate Department Head, Director, Dean, **and** the Vice President for Fiscal Affairs. The approved Request for New Employee form will be forwarded to the Office of Human Resources Management by the Vice President for Fiscal Affairs to initiate recruitment efforts.

The Request for New Employee form will be enclosed with the Classification Action Memorandum mailed to the hiring department from the Office of Human Resources Management.
- (ii) If a new position is to be added at the beginning of a fiscal year, the requesting department must complete a Position Classification Questionnaire and submit it to the Office of Human Resources Management on or before April 1. The Office of Human Resources Management will identify an approved position title, pay grade, classification code and new fiscal year base salary. The Office of Human Resources Management will notify the hiring department in writing of its decision on or before May 1. The hiring department must justify the need for the inclusion of its requested new position relative to other institutional priorities. Final approval for inclusion of the new position in the fiscal year budget must be obtained from the Vice President for Fiscal Affairs.
If approved, the Vice President for Fiscal Affairs will notify the Office of Human Resources Management of his or her decision and instruct when recruitment efforts may be initiated.

804.0502 Reclassification of an Established Position
A. Policy

The reclassification of an established position should be a direct result of an identifiable organization change that has significantly impacted or altered the position responsibilities of the incumbent. A departmental request for a reclassification review should have prior approval of the appropriate Department Head, Director, Dean, or appropriate Vice President. Organizational changes and resulting reclassification of existing positions will normally become effective July 1, the beginning of a new fiscal year.

Reclassification of an established position will result in the upgrade, downgrade, or change to another job classification in the same pay grade. Salary adjustments for the incumbent will be subject to the pay policies on promotions, demotions, and transfers.

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A. Procedure

A. The requesting department determines the need for a review of an existing position on the basis of new

responsibilities or reorganization of the department which significantly affects job assignments of a position.

A. The incumbent of the position and two levels of supervision will complete a position classification

questionnaire and forward it to the Office of Human Resources Management.

A. A professional/administrative staff member of the Office of Human Resources Management will evaluate

the position classification questionnaire and consult with the requesting department to verify job duty information.

A. The evaluator will prepare a written Reclassification Action Memorandum. If the reclassification request

is approved, the memorandum will include the new recommended position title, classification code, and base salary.

If the request is denied, reasons will be stated.

A. The evaluator will forward the original Reclassification Action Memorandum to the requesting department

with copies to the Vice President for Fiscal Affairs **and** the appropriate Vice President, Dean, Director and/or

Department Head.

A. If the request for reclassification is approved, the requesting department will be required to verify that

sufficient funding is available with the Vice President for Fiscal Affairs prior to the reclassification action becoming

effective.

A. If the request for reclassification is disapproved, the requesting department may file an appeal for further

review with the Vice President for Fiscal Affairs. The Director of Human Resources Management will provide his or

her recommendation, along with supporting documentation, to the Vice President for Fiscal Affairs.

A. The Vice President for Fiscal Affairs will serve as the final authority on all reclassification appeals.

804.0503 Pre-employment Examinations

Individuals with disabilities who require reasonable accommodation to participate in any portion of the application, interview and/or testing process must advise the Office of Human Resources Management in advance. Upon request, applicants must provide documentation confirming a disability and the need for accommodation. Advance requests for reasonable accommodation should be directed to:

Director of Human Resources Management

Albany State University

Albany, GA 31705

Telephone Number 912-430-4623

Fax Number 912-430-2867

A. Testing for Clerical Positions

The Office of Human Resources Management conducts comprehensive clerical testing and clerical typing examinations.

Upon completion of an employment application, an individual interested in a clerical position

with Albany State University will have his or her application materials remain in an active status

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for a period of six (6) months. An applicant may request that the Office of Human Resources Management extend the active status of her/his application for one additional six (6) month period. After employment application documents have remained in the

institutional active clerical pool for one (1) year, an individual will be required to complete a new employment application form.

When a hiring department has a clerical position vacancy, the department will be expected to contact the Office of Human Resources Management to review the active pool. A hiring department must interview or attempt to interview a minimum of three candidates.

B. Testing for Public Safety Officer Positions

Upon completion of an employment application package, a person interested in a public safety officer position will be required to sign a consent form allowing the Department of Public Safety to conduct a criminal history background investigation.

Applicants may be required to take the nationally validated International Personnel Management Association (IPMA) A-3 Police Officer Examination. An IPMA exam passing score will be effective for one (1) year from the test date.

When used, those who successfully pass the IPMA examination will constitute the pool of candidates whose credentials will be forwarded to the Department of Public Safety for possible personal interviews. The Department of Public Safety will interview or attempt to interview a minimum of three individuals for a position vacancy. The Department of Public Safety will notify the Office of Human Resources Management of the individual selected for the position vacancy. After an offer of employment has been extended by the Office of Human Resources Management, the individual selected may be required to complete a series of psychological examinations and a personal interview with a Licensed Clinical Psychologist. All employees entering this job category may be required to have these examinations/interviews. If so, an offer of employment will be conditional upon the successful passing of the psychological examinations. Legal council has advised that this requirement does not violate the provisions of the Americans With Disabilities Act. The results of these examinations/interviews will remain confidential.

An individual selected for employment in this job category will be subject to pre-employment drug testing prior to commencing employment or within ten (10) days after commencing employment as mandated by O.C.G.A. 45-20-111. The results of pre-employment drug tests will remain confidential and will not be a public record unless necessary for the administration of the provisions of O.C.G.A. 45-20-111 or otherwise mandated by state or federal law. An offer of employment will be conditional upon the successful passing of a pre-employment drug test.

Any candidate selected for the position of Public Safety Officer must be certified by the State of Georgia.

A. Testing for Public Safety Dispatcher Positions

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Upon completion of an employment application package, a person interested in a public safety dispatcher position will be required to sign a consent form allowing the Department of Public Safety to conduct a criminal history background investigation. Applicants may be required to take the nationally validated International Personnel Management Association (IPMA) PST-100 Public Safety Dispatcher Examination. An IPMA exam passing score will be effective for one (1) year from the test date.

If used, those who successfully pass the IPMA examination will constitute the pool of candidates whose credentials will be forwarded to the Department of Public Safety for possible personal interviews. The Department of Public Safety will interview or attempt to interview a minimum of three individuals for a position vacancy. The Department of Public Safety will notify the Office of Human Resources Management of the individual selected for the position vacancy. An individual selected for employment in this job category will be subject to pre-employment drug testing prior to commencing employment or within ten (10) days after commencing employment as mandated by O.C.G.A. 45-20-111. The results of pre-employment drug tests will remain confidential and will not be a public record unless necessary for the administration of the provisions of O.C.G.A. 45-20-111 or otherwise mandated by state or federal law. Any candidate selected for the position of Public Safety Dispatcher must be certified by the State of Georgia.

804.0504 Pay Policies for Classified Employees

804.050401 Starting Salary for Classified Employees

A. It is the policy of Albany State University that the starting salary for a new employee will normally be at the base rate or minimum of the pay grade for the position.

B. The Director of Human Resources Management may offer a new employee up to a maximum of

the mid-point of the pay grade under the following conditions:

1. Reasonable efforts have failed to provide qualified applicants for a vacant position having been advertised at the entry level;
2. Funds are available in the hiring department's budget; and
3. Justification has been submitted by the hiring department documenting an extraordinary level of knowledge and experience pertinent to the open position by the new employee.

NOTE: Before submitting a request to employ an individual at a rate higher than the entry level salary, department heads are strongly advised to review the salary levels of all other current employees in the same or similar classifications.

C. Under no circumstances will a new employee be hired at a rate greater than the mid-point of the

pay grade without prior written approval from the Vice President for Fiscal Affairs. 804.050402 Promotion to a Higher Job Classification

A. An employee is considered to have been promoted when:

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1. The employee is selected to fill a vacant position with a higher classification and pay grade.

This may occur within an employee's own department or with another campus department. Any employee seeking promotion must meet the published minimum requirements of the higher level position.

2. An employee's current position is upgraded to a higher classification at a higher pay grade. B. Pay upon promotion will allow an employee to be eligible for a salary increase consistent with the following guidelines:

1. When an employee is promoted to an open position at a higher classification and pay grade, the employee's present salary may be increased up to a maximum of 5% or to the minimum of the new job classification, whichever is greater. However, the new salary may not exceed the maximum amount authorized for that pay grade. 2. When a promotion is effected through reclassification of an employee's present position, the employee's current salary may be increased up to a maximum of 5% or to the minimum of the new job classification, whichever is greater. The new salary may not exceed the maximum amount authorized for that pay grade.

804.050403 Demotion to a Lower Job Classification

When an employee is demoted to a job classification in a lower pay grade, the Director of Human Resources Management has the authority to establish the new rate of pay at any point from the minimum of the new job classification to the present salary of the employee, provided that the present salary of the employee does not exceed the maximum amount authorized for the new job classification.

804.050404 Lateral Transfer

- A. Transfers must be based on mutual agreement between department heads. A transfer is the shift of an employee from one position to another of the same classification or to one with comparable skills at the same pay grade. There is no salary change involved in a lateral transfer.
- B. To be eligible for promotion or transfer outside the employee's department, an employee must have completed his or her initial six-month provisional period of employment. An employee is eligible for promotion and/or transfer within the same department at any time. To be either promoted or transferred, an employee must meet the minimum requirements of the position as identified.
- C. All classified position vacancies are posted, as they occur, with every campus department using current computer technology resources and/or in hard copy format, if necessary. Whenever practicable, vacancies are filled by the promotion or transfer of current employees.

Eligible employees may apply for transfer with the Office of Human Resources Management.

- D. To assist a department in filling an open position that results from the transfer of an employee to another department, a two (2) week notice should be provided to allow sufficient time for recruitment activities. A shorter notice may be given if acceptable to the respective departmental supervisors.

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804.050405 Pay Periods

- A. An employee's classification will determine his or her pay cycle. Professional and Administrative Personnel are paid monthly on the last working day of each month unless otherwise specified by official notice. Staff Personnel or hourly employees are paid every other Friday.
- B. A supervisor should advise his or her employees when, where, and how paychecks will be issued.
- C. Employees are advised to review their checks when they receive them to make sure that the proper deductions have been made. If any errors are discovered, an employee should immediately notify the Office of Human Resources Management.

804.050406 Pay for Temporary Employment

The rate of pay for temporary employment in a position will be established by the Office of Human Resources Management based on the pay for full-time employment in similar positions. Under extenuating circumstances, a temporary employee may be paid at a varying rate with the written approval of the Vice President for Fiscal Affairs.

804.050407 Budget Limitations

The implementation of policies and procedures pertaining to pay policies for classified employees is always contingent on the availability of funding. Requests for authorization to exceed the budgeted amount for any position, regardless of the classification and/or pay range, must be submitted to the Vice President for Fiscal Affairs for written approval.

804.050408 Salary Increases and Adjustments

- A. Salary increases are normally approved only at the start of a new fiscal year. The fiscal year begins on July 1. Salary increases are normally made on the basis of job performance/merit.

- B. Salary adjustments are, also, normally approved only at the start of a new fiscal year. Salary adjustments are normally made on the basis of market conditions which negatively impact the institution's ability to recruit and retain qualified employees.
- C. Salary increase and/or adjustment monies are dependent on availability of funding as allocated

to Albany State University by the Board of Regents through the State of Georgia legislative appropriations.

804.06 STUDENTS WORKING FULL OR PART TIME FOR THE UNIVERSITY

All students employed by the University, and designated as Classified Employees who are paid by

the University are classified as "Temporary Employees." Full-time, part-time, or otherwise

University employed students, shall be employed only on an hourly basis with remuneration for

such work to be computed by the hour unless otherwise determined and authorized by the Director

of Human Resources Management. Limited and specified individual classifications assigned to such student workers will be recorded in the Office of Human Resources Management.

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All such employment is stipulated to be subject to reevaluation without prior notice to such employee to include possible change of location and function.

It is stipulated in each employment of Students, however classified by hours, pay scale or otherwise, that the budgeting of such individual's employment is limited in each case to a period of

time coincident to the academic semester or any fraction thereof as specified by the Supervisor of said employed Students. (With the approval of the Vice President for Fiscal Affairs, formal cooperative work agreements extending for periods in excess of one academic semester may be initiated by the University as an exception to the one-semester limitation on student employment.)

Only upon advance recommendation by the Supervisor of the future work specified, the Director of

Human Resources Management, or his or her designee, shall initiate reemployment of a student. Notice of reemployment for any succeeding semester, or fraction thereof, shall be handed to the employee prior to the initiation of such hourly work.

At the conclusion of any academic semester or program of work of less than one semester's

duration, the Supervisor shall request a terminal evaluation conference with the Student employee.

The results of the interview and the formal evaluation of the employee, as heretofore specified, will

be filed with the Office of Human Resources Management. Students seeking subsequent or future employment will become eligible only when the records of such prior employment are evaluated formally by the Office of Human Resources Management.

804.07 WORK WEEK

The standard work week for all Classified Employees of Albany State University is forty (40) hours in

accordance with the Fair Labor Standards Act. The established campus-wide hours of work are

normally 8:00 a.m. to 5:00 p.m. with an hour for lunch. Personnel of Plant Operations, with the

approval of the Vice President for Fiscal Affairs, may establish different schedules for its employees

when it is deemed in the best interest of the University and that Department/Unit. (BR Business Procedures Manual, Vol. 3A Revised, Section II. L.).

804.08 OVERTIME

Overtime work shall be authorized for employees who are not exempt from the provisions of the Fair

Labor Standards Act only when the work is deemed necessary by the President or his or her designated representative. Payment for approved overtime work will be made in accordance with provisions of the Fair Labor Standards Act. In lieu of payment for approved overtime work, the President or his or her designated representative may approve the granting of compensatory time off at the rate of one and one-half hours of compensatory time for each hour of overtime worked. Approved compensatory time is subject to a maximum accumulation of sixty (60) hours and must be expended by the end of the succeeding calendar semester (BR Business Procedures Manual, Vol. 3A Revised, Section II. L.).

804.09 TRANSFERS

Transfers must be based on mutual agreement between Departments/Units of the University or between institutions of the University System. A 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.

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Upon a move of an employee between institutions of the University System, accumulated sick leave, retirement benefits and service continuity will be transferred if there is no actual break in service.

Upon a move between University System institutions, with no break in service, an employee must transfer accrued vacation leave of between one (1) and twenty (20) days. For employees with accrued vacation leave of greater than twenty (20) days, the employee may elect one of the following options:

1. Transfer of the total accrued vacation balance, not to exceed forty-five (45) days; or
2. Payment by the institution from which the employee is moving of accrued vacation leave greater than twenty (20) days. The total accrued vacation leave for which the employee may be paid shall not exceed twenty-five (25) days.

(BR Business Procedures Manual, Vol. 3A Revised, Section II. F. and BR Policy No. 803.16)

804.10 DISMISSAL, DEMOTION, OR SUSPENSION

Dismissal, demotion or suspension of Classified Employees may be initiated by the employee's

Immediate Supervisor when the Supervisor determines that the employee's performance of duty or

personal conduct is unsatisfactory.

Any employee who is convicted of the unlawful manufacture, distribution, sale, use, or possession of marijuana, a controlled substance or other illegal or dangerous drug, or who admits guilt of any such offense in a court proceeding, shall be suspended for not less than two months or dismissed after compliance with procedural requirements of this section (Section 804.10). Such employee shall be required as a condition of re-employment following suspension to complete a drug abuse treatment and education program approved by the President of the University. Mandatory suspension and/or dismissal for this offense will be accomplished without the exercise of Progressive Discipline procedures provided for in Section 804.15.

The employee shall be informed in writing of the reasons for the action taken and granted a

reasonable opportunity (not less than five 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 shall also be entitled to the procedural protection of a hearing before

a Board of Review convened pursuant to Section 803.14 (Appeals) of this Manual upon request made within fifteen (15) working days following the adverse personnel decision of his immediate supervisor, provided that the Board of Review hearing may take place either before or after the effective date of the personnel decision in question.

Dismissal, demotion or suspension of Classified Employees, except in cases where the nature and/or severity of the circumstances warrant immediate action, will occur only after Progressive Discipline actions have been taken as described in Section 804.15 of this Manual.

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 his or her designee determines otherwise. (BR

Business Procedures Manual, Vol. 3A Revised, Section II. I.)

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The following are some offenses that can lead to disciplinary actions:

1. Dishonesty, deception, or fraud, including computer fraud,
2. Unexcused absence,
3. Repeated tardiness,
4. Excessive absence,
5. Leaving work without permission,
6. Alcohol or drug abuse,
7. Possession of alcoholic beverages or illegal drugs,
8. Willful damage to material or property
9. Fighting,
10. Theft of property,
11. Sleeping on the job,
12. Poor work performance,
13. Use of abusive or threatening language,
14. Insubordination,
15. Sexual harassment, and
16. Failure to perform duties satisfactorily.

804.11 PERFORMANCE EVALUATION

Each classified employee of Albany State University will be evaluated in a systematic manner at

specified time intervals by the Supervisor or the immediate Department/Unit Head, but in no case

less than once each year. This Performance Evaluation System shall be for the purpose of transfer,

promotion, demotion, retention, supervisory assistance and future employment references. The

following elements shall be involved in each evaluation: adjustment, capability, productivity,

efficiency, and potential for Department/Unit and/or University development. The evaluation shall not

be restricted to the foregoing as criteria for personnel evaluation. The continuation of employment of

the employee shall rest on the judgment of the Supervisor or Department (division) Head. (BR Business Procedures Manual, Vol. 3A Revised, Section II. M.)

804.12 ANNUAL LEAVE (VACATIONS)

(BR Business Procedures Manual, Vol. 3A Revised, Section III. H. and Personnel Procedures Guides Nos. 1 and 2)

804.1201 Leave Entitlement

Other than temporary employees, employees working full-time, shall be entitled to vacation at the rate of one and one-fourth (1-1/4) working days per month for each of the first five years of employment, one and one-half (1-1/2) working days per month for each of the next five years of employment, and one and three-fourths (1 3/4) working days per month for each year after the completion of ten years of continual service. Employees, other than temporary employees, working

one-half time or more but less than full-time shall earn and accrue vacation time in an equivalent ratio to their percentage of time employed.

804.1202 Leave Accrual and Payment

Earned vacation may be accrued up to a maximum of forty-five (45) working days, and employees

shall be compensated for all accrued vacation time up to, but not exceeding, forty-five (45) days

upon termination of service from the University for any reason. The compensation shall be based on

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University leave records. A terminated employee shall not accrue vacation leave after the last working day of employment.

An employee will not be paid for more than 45 days accrued leave upon termination of employment.

Each December 31, an employee's leave record shall be adjusted to show no more than 45 days accrued. (As leave days are earned subsequent to December 31, they shall be added to the days remaining after adjustment. This means that the leave record may show more than 45 days of accumulated leave at times other than January 1. As leave days are used, they shall be subtracted from this accumulation.)

804.1203 Scheduling Earned Vacation

Earned vacation shall be taken at times mutually acceptable to the employee and the Immediate Supervisor.

804.1204 Temporary Employees

Temporary employees, including student assistants, and regular employees working less than one-half time, do not earn or accrue vacation time.

804.1205 Transfer of Accrued Vacation

Section 804.09, TRANSFERS, provides for the transfer of accrued vacation.

804.13 OTHER TYPES OF LEAVE

804.1301 Sick Leave With Pay

All regular full-time employees of the University as defined in Section 801, shall accumulate sick

leave 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.

At the discretion of the University and upon approval of the Supervisor, an employee can be granted

sick leave 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; or

Illness, injury, or death in the employee's immediate family requiring the employee's presence. If an employee claims sick leave for a continual period in excess of one week, a physician's statement is required to permit further claim of sick leave rights by the

employee. A terminated employee shall not accumulate sick leave or be entitled to receive sick pay after the last working day of his or her employment. Upon an employee's transfer to another institution of the University System, accumulated sick leave will be transferred if there is no actual break in service.

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804.1302 Sick Leave Without Pay

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 year.

Furthermore, such approved sick leave shall allow the employee the right to elect to continue his or

her group insurance benefits, and the University will continue its share of the cost for such period.

All other benefits which otherwise would accrue to the employee are prohibited.

804.1303 Educational Leave Without Pay

The University President may approve educational leave without pay to full-time employees for

periods not to exceed one year at a time for the purpose of encouraging professional development. Such approved leave shall allow the employee the right to continue group insurance benefits with University participation.

804.1304 With Pay

804.130401 Ordered Military Duty

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, performed for a period or periods not exceeding

a total of thirty (30) days in any one calendar year, shall be deemed "ordered military duty" regardless of whether the orders are issued with the consent of the employee.

804.130402 Leave of Absence

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) work days in any one calendar year and not exceeding eighteen (18) work days in

any one continuous period of absence (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 duty.

804.130403 Emergency Leave of Absence

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 thirty (30) days in any one calendar year

and not exceeding the same length in any one continuous period of such State active duty service.

804.130404 Payment of Annual Leave

After an employee has exhausted his or her paid military leave, the University may pay the employee for his or her accumulated annual leave.

804.1305 Maternity Leave

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Disability due to pregnancy shall be considered as any other disability and appropriate sick leave provisions of these policies shall apply.

804.1306 Miscellaneous Leave

804.130601 Fair Labor Standards Act (FLSA)

When exempt employees are absent from work for less than one scheduled work day and their

accumulated leave is insufficient to cover the partial day of absence, they shall be placed on FLSA

leave with pay for the period of absence.

804.130602 Court Duty

Court duty leave with pay shall be granted 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.

804.130603 Voting

Employees of the University are encouraged to exercise their constitutional right to vote in all Federal, State, and Local elections. When an employee's normal working hours coincide with

voting hours, the employee shall be granted leave as stipulated by his or her Immediate Supervisor,

for the purpose of voting.

804.130604 Selective Service and Military Physical Examination

Any regular employee required by Federal law to take a Selective Service or Military physical examination shall be paid for any time lost to take such an examination.

804.130605 Personal Leave

At the discretion of the University President personal leave of absence without pay for periods not to exceed one year may be approved. Such approved personal leave shall allow the employee the right to elect to continue group insurance benefits.

804.130606 Other Leave

In the event of inclement weather or any emergency which requires leaves of absence of employees,

the University President or his or her designee may declare leave with or without pay.

(BR Policy 802.08)

804.14 EMPLOYEE CONTINUING EDUCATION

With prior approval by the Department/Unit Head, a regular classified employee may enroll for

attendance in a course of instruction at the University. The employee is limited to one class per

work day. The Supervisor may approve a modification to the schedule of hours worked (short lunch

period, etc.) in order to make up time away from his or her job.

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The Board of Regents of the University System of Georgia, in a commitment to help its full-time employees pursue professional growth and development, has implemented a policy (Tuition Reimbursement and Remission Policy) through which the Board will assist full-time employees in this area. See Section 806.17 of this Manual for details of this policy and implementation guidelines.

804.15 PROGRESSIVE DISCIPLINE

Whenever the appropriate Supervisor determines that an employee's performance of duty or

personal conduct is unsatisfactory and if that classified employee has completed the six-months

provisional employment (Section 804.04 of this Manual), the Supervisor must follow a sequence of

disciplinary actions.

804.1501 Oral Warning

The Supervisor should discuss the unsatisfactory offense, action, or conduct with the employee,

suggest corrective action and the results expected and record in an appropriate place the date, time

and a summary of the warning.

804.1502 Written Warning - First

The Supervisor should reduce to writing a description of the unsatisfactory offense, action or

conduct, the suggested or required corrective action, a reference to the previous Oral Warning, the

results expected, and any other caution or warning deemed appropriate. The letter or memorandum

should be given to the employee and discussed fully with him or her.

804.1503 Written Warning - Second

The Supervisor, in the second written warning, should document the information in the same manner

required for the first warning (Section 804.1502 above) and recommend suspension of the employee

without pay for a maximum of three (3) to five (5) days.

804.1504 Written Warning - Third

The Supervisor, in the third written warning, should document the required information of the

previous two (2) warnings (Sections 804.1502 and 804.1503 above) and recommend termination of the employee.

804.1505 Process for Filing Documents

The Supervisor should forward, through appropriate channels, all documents pertaining to any or all Written Warnings so that such documents can be acted upon and filed in the employee's permanent personnel files.

804.1506 Exceptions to Suspension or Termination

Only upon the recommendation of the Director, Human Resources Management, with approval by

the President, will the actions of suspension and/or termination be changed from these policies.

805 GENERAL POLICIES FOR FACULTY

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805.01 MINIMUM QUALIFICATIONS FOR EMPLOYMENT

805.0101 All Ranks

Minimum employment qualifications for all academic ranks within the University shall be:

1. Master's degree. Exceptions may be made for:
 - a. persons of special learning and ability;
 - b. promising individuals who have recently acquired the bachelor's degree and are proceeding with their graduate training; and
 - c. temporary emergency appointments;
2. Evidence of ability as a teacher;
3. Evidence of scholarly competence and activity;
4. Successful experience (which must necessarily be waived in the case of beginners who meet all other requirements); and
5. Desirable personal qualities judged on the basis of personal interview, complete biographical data, and recommendation.

805.0102 Full Professors

In addition to Section 805.0101 above, initial appointees to full professorships should have a doctorate or the equivalent in training, ability or experience. (BR Policy No. 803.01)

805.02 EMPLOYMENT OF PERSONNEL FOR MAJOR FACULTY AND ADMINISTRATIVE POSITIONS

For the purposes of this section, major faculty and administrative positions shall be defined as follows: Chaired Professors; Provosts; Vice Presidents; Deans; Division or Department Heads;

Chief Business Officers; Chief Student Affairs Officers; Registrars; Chief Admission Officers; Head

Librarians; Directors of Institutes, Centers, Experiment Stations; Directors of Continuing Education;

and Directors of Cooperative Divisions.

To ensure the employment of high-caliber personnel in these positions without hampering the effectiveness of the presidents and their advisors, the Board of Regents has established the following policy:

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B. When a position is to be filled, the President of Albany State University shall write the Chancellor a

letter stating: (1) the nature of the position; (2) the improvements and changes to be made by the new appointee in

this position; (3) the place of the activity in the development of the University; (4) the method to be followed in

identifying possible appointees; (5) the professional qualifications and special competencies to be sought; and (6)

the salary range anticipated.

B. When a list of possible nominees has been developed, the President shall forward the list to the

Chancellor.

B. When the best candidate has been identified, the President shall forward to the Chancellor a request to

offer the position to the candidate.

B. Only after receiving approval from the Chancellor to offer the position shall the President make to the

candidate a commitment subject to ratification by the Board of Regents.

B. The President shall then forward the recommendation for appointment to the Chancellor for Board

approval.

B. Supplementary Procedures

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B. If a major Faculty or Administrative Position is to be filled by an individual in an acting or interim

capacity, the President shall provide the Chancellor with the name of that individual and a description of his or her

qualifications for service in the position. No individual shall fill a position in an interim or acting capacity for more than

one calendar year unless an extension has the written approval of the Chancellor and approval of the Board.

B. On the first day of each calendar quarter, the President shall provide the Chancellor a status report on

all unfilled major Faculty and Administrative Positions. For the purpose of this quarterly status report, any positions

currently filled by acting or interim personnel should be listed as vacant. The Chancellor can require more frequent

submission of this report as needed. (BR Minutes, 1951-52, p. 240; 1979-80, pp. 278-78; 1986-87, pp. 135-136)

(BR Policy No. 803.02)

805.03 INTER-INSTITUTIONAL EMPLOYMENT

It is recognized as a good practice for units of the University System to employ Faculty from other

units of the System. When the President of Albany State University approves the consideration for

employment of a faculty member of another institution in the System, he shall secure authorization

from the Chancellor prior to contacting the Faculty member. When the President makes a formal offer, the letter shall include a statement that acceptance can be made only after all contractual obligations have been fulfilled or a replacement has been secured. (BR Policy No. 803.05)

805.04 NOTICE OF EMPLOYMENT AND RESIGNATION

805.0401 Tenured Faculty

All tenured Faculty members under written contract for the fiscal or academic year of two

semesters shall give to the President or to his or her authorized representative written notice of their

intention to resign. The notice must be postmarked no later than February 1, immediately preceding the expiration of the contract period.

805.0402 Non Tenured Faculty

805.040201 President's Annual Notification to Non Tenured Faculty with Academic Rank

Each year, on or before the dates specified in Regents' Tenure Regulations, the President, or his or

her authorized representative, shall advise, in writing, all non tenured faculty who have been awarded

academic rank (Instructor, Assistant Professor, Associate Professor, Professor) and who are employed under written contract whether an employment contract for the succeeding academic year will be offered to them. Such written notice shall be delivered to the addressee only, with receipt to show to whom and when delivered and the address where delivered.

805.040202 Notice of Intent to Renew or not to Renew

Notice of intention to renew or not to renew a non tenured Faculty member who has been awarded

academic rank (Instructor, Assistant Professor, Associate Professor, Professor) shall be furnished,

in writing, according to the following schedule:

At least three months before the date of termination of an initial one-year contract;

At least six months before the date of termination of a second one-year contract; and

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At least nine months before the date of termination of a contract after two or more years of service in the institution.

This schedule of notification does not apply to persons holding temporary or part-time positions, or

persons with courtesy appointments, such as adjunct appointments.

805.040203 Contract Term for Non Tenured Faculty and Other Personnel Employed Under Written Contract

Non tenured Faculty and other non tenured personnel employed under written contract shall be

employed only for the term specified in the contract; and subsequent or future employment, if any,

shall result solely from a separate offer and acceptance requisite to execution of a new and distinct

contract.

(BR Minutes, 1964-65; pp. 614-16; 1970-71, pp. 685-87; 1974-75, pp. 304-13; 1980-81, p. 137) (BR

Policy No. 803.06)

805.05 EVALUATION OF FACULTY

In accordance with definite and stated criteria (consistent with Board of Regents Policies), against

which the performance of each Faculty will be evaluated, and which are developed by the academic

officials of the University and approved by the President, each Faculty member will be evaluated at

least annually. As a part of the evaluation procedures, a written system of Faculty evaluations by

students will be included, with the improvement of teaching effectiveness as the main focus of such

student evaluations. (BR Policy No. 803.07)

805.06 CRITERIA FOR PROMOTION

805.0601 All Professorial Ranks

Minimum for all professorial ranks:

Superior teaching,

Outstanding service to the institution,

Academic achievement, and

Professional growth and development.

Noteworthy achievement in all four of the above need not be demanded, but should be expected in

at least two. The Head of the Department/Unit concerned should submit a written recommendation

setting forth the reasons for promotion.

The Faculty member's length of service with the University shall be taken into consideration in determining whether or not the Faculty member should be promoted.

805.0602 Promotion to Full Professor

In addition to Section 805.0601 above, promotions to Full Professorship should require the doctorate

or its equivalent in training, ability, or experience. Neither the possession of a doctorate, nor longevity of service is a guarantee *per se* of promotion. (BR Policy 803.08)

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805.07 TENURE

The Board of Regents of the University System recognizes that “tenure resides at the institutional level” and, therefore, allows additional standards and requirements for tenure, consistent with the

Board of Regents’ Policies and approved by the Board, to be incorporated into the Statutes of the

University. This Manual addresses only those general, minimum standards for the award of tenure

set forth by the Board of Regents (BR Policy No. 803.09). Any additional standards and requirements or deviations from those herein published which have been approved by the Board of

Regents must be provided to the Faculty in writing at the time of employment.

805.0701 University Responsibility for Tenured Employment

The responsibility of Albany State University for employment of a tenured individual is to the extent

of continued employment on a one hundred per cent workload basis for three out of every four

consecutive academic quarters until retirement, dismissal for cause, or release because of financial

exigency, or program modification as determined by the Board of Regents (Section 803.18 of this Manual).

805.0702 Eligibility

As defined by Board of Regents Policies, only Assistant Professors, Associate Professors or Professors who are normally employed full-time by the University are eligible for tenure. The term “full-time” is used in tenure policies, procedures and/or regulations to denote service (employment) on a one hundred per cent work load basis for at least three out of four consecutive academic quarters.

Faculty members with adjunct appointments shall not acquire tenure. The award of tenure is limited

to the above academic ranks and shall not be construed to include honorific appointments.

805.0703 Probationary Period

Tenure may be awarded in accordance with stated, written and published procedures, upon

completion of a probationary period of at least five years of full-time service at the rank of Assistant

Professor or higher, upon recommendation by the President and upon approval by the Board of

Regents. The five-year period must be continual except that a maximum of two years interruption

because of a leave of absence or part-time service may be permitted; however, no probationary

credit for the period of an interruption shall be allowed. A maximum of three years' credit toward the

minimum probationary period may be allowed for service in tenure track positions at other institutions or for full-time service at the rank of Instructor at Albany State University. Such credit for prior service shall be defined in writing by the President at the time of the initial appointment at the rank of Assistant Professor or higher.

805.0704 Maximum Times Allowed Without the Award of Tenure

The maximum period of time that may be served at the rank of full-time Instructor shall be seven years.

The maximum time that may be served at the rank of Assistant Professor or above without the

award of tenure shall be seven years, provided, however, that a terminal contract for an eighth year

may be proffered if the University's recommendation for tenure is not approved by the Board of

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Regents. The maximum time that may be served in any combination of full-time instructional appointments (Lecturer, Instructor, or Professorial ranks) without the award of tenure shall be ten years, provided, however, that a terminal contract for an eleventh year may be proffered if the University's recommendation for tenure is not approved by the Board of Regents.

805.0705 Loss of Probationary Credit

Tenure or probationary credit toward tenure is lost upon resignation from the University, or written

resignation from a tenured position in order to take a non tenure position, or written resignation from

a position for which probationary credit toward tenure is given in order to take a position for which no

probationary credit is given. In the event such an individual is again employed as a candidate for tenure, probationary credit for the prior service may be awarded in the same manner as for service at another institution.

805.0706 Notification

Upon approval of the award of tenure to an individual by the Board of Regents, the President of the

University shall notify that individual in writing, with a copy of the notification forwarded to the Chancellor.

805.0707 Notice to Renew or Not Renew Contracts of Non Tenured Faculty
Notice of the intention to renew or not to renew a non tenure faculty member who has been awarded

academic rank (instructor, assistant professor, associate professor, professor) shall be furnished, in

writing, according to the following schedule:

At least three months before the date of termination of an initial one-year contract;
At least six months before the date of termination of a second one-year contract; or At least nine months before the date of termination of a contract after two or more years of service in the institution.

This schedule of notification does not apply to persons holding temporary or part-time positions in any rank.

805.0708 Dismissal of Tenured Faculty

A tenured Faculty member, or a non tenured Faculty member, before the end of his or her contract

term, may be dismissed for any of the following reasons, provided that Albany State University has

complied with procedural requirements:

1. Conviction or admission of guilt of a felony or of a crime involving moral turpitude during the period of employment—or prior thereto if the conviction or admission of guilt was wilfully concealed;
2. Professional incompetency, neglect of duty, or default of academic integrity in teaching, in research, or in scholarship;
3. Unlawful manufacture, distribution, sale, use or possession of marijuana, a controlled substance, or other illegal or dangerous drugs as defined by Georgia laws; teaching or working

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under the influence of alcohol which interferes with the faculty member's performance of duty or his responsibilities to the University or to his profession (BR Minutes, 1989-90, pp. 384-385); or

4. Conviction or admission of guilt in a court proceeding of any criminal drug offense.

(BR Minutes, 1989-90, pp. 384-385)

805.0709 Program Modification

As part of its broad constitutional authority to manage the University System of Georgia, the Board

of Regents may exercise its authority to modify programs offered by the System generally or at

various units of the System. Such modification may be a part of a change of institutional mission

and may result in discontinuation of programs or reduction in size. A program modification of such

magnitude that requires the termination of tenured Faculty members at Albany State University will

be implemented only after completion of a study, with University Administrative and Faculty

participation, by the Chancellor's staff. The Chancellor will report the results of that study to the

Board along with recommended guidelines under which program modification will be effected. (BR

Policy 803.0901)

805.08 NON TENURE TRACK PERSONNEL

Albany State University is authorized to establish professional positions designated as non-tenure

track positions. The University shall prepare annually, along with its budget, a list of positions so

designated for submission to and approval by the Chancellor. Subsequent requests for such

designations submitted during the budget year must also be approved by the Chancellor. Positions

designated as non-tenure track positions or as tenure track positions may be converted to the other

type only with approval by the Chancellor.

Non-tenure track positions may be established for full-time professional personnel employed in

administrative positions or to staff research, technical, special, career, and public service programs

or programs which are anticipated to have a limited life span or which are funded, fully or partially,

through non-System sources. There shall be no maximum time limitation for service in positions in

this category.

The following provisions shall apply to all non-tenure track professional personnel:

- A. Individuals employed in non-tenure track positions shall not be eligible for consideration for tenure;
- B. Probationary credit toward tenure shall not be awarded for service in non-tenure track positions;
- C. Notice of intention to renew or not to renew contracts of non-tenure track personnel who have been awarded academic rank (Instructor, Assistant Professor, Associate Professor, Professor) shall follow the schedule required for tenure track personnel. (This schedule of notification shall not apply to other professional personnel.); and
- D. Individuals employed in non-tenure track positions may apply on an equal basis with other candidates for tenure track positions which may become available. The transfer of individuals from tenure-track positions to non-tenure track positions shall be effected on a voluntary basis only.

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(BR Policy No. 803.10)

805.09 REMOVAL OF FACULTY MEMBERS

The President of the University may at any time remove any Faculty member or other employee of the University for cause. Cause shall include willful or intentional violation of the Policies of the

Board of Regents or the approved Statutes of the University. Further causes or grounds for

dismissal are set forth in the Tenure Regulations of the Policies of the Board of Regents and in the

approved Statutes or Bylaws of the University. (BR Policy No. 803.11)

805.10 DISMISSAL OF TEMPORARY OR PART-TIME INSTRUCTIONAL PERSONNEL Temporary or part-time personnel serving without a written contract hold their employment at the pleasure of the President, or Vice President for Academic Affairs, or their Immediate Supervisor, either of whom may terminate employment of such employees without cause or advance notice. (BR Policy No. 803.1101)

805.11 SUSPENSION FOR VIOLATION OF STATE OR FEDERAL LAWS

When a Faculty member of the University is charged with the violation of a State or Federal law, or

is indicted for any such offense, a thorough review of the circumstances shall be carried out by the

President of the University and the Chancellor.

In the event a Faculty member is temporarily suspended the President shall immediately convene an AD HOC Faculty Committee or use the services of an appropriate existing Faculty committee, for the purpose of hearing an appeal by the Faculty member. The appeal shall be submitted in writing in accordance with procedures to be established by the Hearing Committee, which shall render its decision within ten (10) days from the conclusion of the hearing. Thereafter, any further appeal by the Faculty member shall be in accordance with the procedures set forth in Article IX of the Bylaws of the Board of Regents. (BR Policy No. 803.12)

805.12 FACULTY APPLICATION FORM

Each person formally applying for a Faculty position at the University must complete an employment application form. The application must be kept on file at the University. Unless pardoned as provided by law, an applicant will be ineligible for employment if he or she has been convicted of a crime involving moral turpitude. (BR Policy 803.1201)

805.13 EMPLOYEE CONTRACT FORMS

To employ Faculty members, the University shall use only official contract forms (Exhibits 805.13-1

through 805.13-4) approved by the Board of Regents. An employee's failure to sign and return such

contracts within the time period specified therein may be construed as an abandonment of employment rights.

Any other provision in these Policies to the contrary notwithstanding, Faculty members who fail to verify or maintain the credentials, degree, certification or licensure required to teach the subject matter of their contract shall be liable to immediate dismissal for breach of their contract. (BR Policy No. 803.1202)

805.14 COMPENSATION OF FACULTY

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805.1401 Salaries

The University receives from the General Assembly an annual appropriation allocated by the Board of Regents for all phases of its operations. This appropriation may be increased or decreased by

action of the Legislature, the Governor, or the Board of Regents during the period of any fiscal year.

Expenditures for operation of the University are therefore necessarily contingent upon Legislative

appropriations and Board of Regents allocations. In the event that such an occurrence at any time

reduces the amount of funds appropriated to the University, the compensation of all employees and

other operating expenses may as a consequence be correspondingly reduced. It shall, however, be

the intent of the University and the Board of Regents to maintain current salary commitments

insofar as possible to every employee, and they will exert their combined influence and best efforts

to that end. (BR Policy No. 803.1401)

805.1402 Criteria for Determining Salaries

Consistent with the University's policy on nondiscrimination and with the approved purpose of

Albany State University, the Administration shall use specific criteria for the determination of entry-level

salaries for full-time teaching Faculty members employed at the ranks of Instructor, Assistant professor, Associate Professor, and Professor and for the determination of the extent of salary increases awarded to currently employed full-time faculty members.

805.140201 Each entry-level salary shall be determined on the basis of the specific requirements of the position and the qualifications of the individual employed to fill the position. Position criteria shall include: the academic rank, the academic discipline, and the nature of the duties and responsibilities to be performed. Criteria related to the qualifications of the individual shall include: academic degrees earned, teaching and other relevant experience, research and publication record, academic achievements and honors, and relevant professional achievements or recognitions.

805.140202 Salary increases for full-time teaching Faculty shall be awarded on the basis of merit. The criteria for

the determination of the extent of such increases shall include: teaching ability, completion of

significant professional development activities including the attainment of additional academic

degrees, promotion in rank, seniority, research productivity, academic achievements and publications, academic honors and recognitions, relevant professional achievements and

recognitions, and non-teaching services to the University. The University shall identify and publish specific criteria, consistent with this policy, upon which the determination of the extent of salary increases will be based. The University shall also identify the methods by which the Faculty member's performance will be evaluated to determine salary increases. Upon approval by the Chancellor, both the criteria and the evaluation methods shall be published in the Faculty Handbook of the University.

805.140203 When a fiscal year administrative employee returns to an academic appointment as a Faculty member, his or her salary shall be determined on the same basis as other faculty members with similar rank and experience within the Department/Unit to which he or she returns or in other similar positions within the University. (BR Policy No. 803.1402)

805.1403 Summer School Salaries

Payment of compensation to faculty members for full-time employment during the summer quarter

shall be at a rate not to exceed 33-1/3% of their regular nine-months compensation for the previous

academic year. (BR Policy No. 803.1403)

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805.1404 Research, Saturday Classes and Off-Campus Continuing Education
Research and Saturday classes will ordinarily be carried by University personnel as part of their normal work load without additional financial compensation. Adequate allowance in time assigned for the extra duties shall be made by a proportionate decrease in the teaching load.

An employee may earn extra compensation, however, when all of the following conditions exist:

The work is carried in addition to a normal full load;

No qualified person is available to carry the work as part of his normal load;

The work produces sufficient income to be self-supporting; and

The additional duties must not be so heavy as to interfere with the performance of regular duties.

When an employee earns extra compensation, it shall be in line with compensation paid for performance of his or her normal duties.

When off-campus services conducted through the Continuing Education Center can be included in

the normal work load of an individual, he or she will earn no additional compensation unless the offcampus

service meets the four conditions stated above.

(BR Policy No. 803.1404)

805.1405 Salary Supplements from Foundations

No consideration shall be given to salary supplements that may be paid from Foundations or other

sources in order that salary supplements will be over and above the regular salary paid with State funds.

The University shall prepare for the Board of Regents a supplemental budget to include supplements

paid from foundations or other sources.

The salary to be paid from State funds for summer school employment or for a leave of absence with pay shall be based on the approved salary exclusive of any supplement.

Each Faculty or Staff member receiving a salary supplement shall be advised of his or her award of

the supplement, the amount and source of funds, and the fact that the salary supplement had the recommendation of the President of the University. (BR Policy No. 803.1405)

805.1406 Employment of Faculty Members with Agency Funds

Whenever it is desired to employ a Faculty member whose salary is to be paid in whole or in part

with funds provided by a person, foundation, organization, or any agency other than a governmental

agency, the President shall recommend to the Board of Regents, through the Chancellor, the

employment of the person, with full details of his or her qualifications and the availability of funds for

paying his or her salary. (BR Policy No. 803.1406)

805.1407 Employee Auditing of Courses

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Faculty members of Albany State University may attend classes offered by the University without

registering as “auditors” and without credit being offered for such attendance. This provision applies

to non-credit courses on a space-available basis. The University may permit faculty members to attend job-related Continuing Education classes, as determined by appropriate supervisory authority, at a reduced rate or without payment of a fee. (BR Policy No. 803.1408)

805.15 LEAVES OF ABSENCE FOR PROFESSIONAL PERSONNEL

The President of the University may, with the approval of the Chancellor and the Board, grant leaves

of absence, with or without pay, to members of the Faculty or Administrative Staff. The President,

with notification to the Chancellor, may grant leaves of absence of one academic semester or less,

with or without pay. Such leaves may not be renewed or extended without the approval of the Chancellor and the Board.

The Board, as a rule, will approve recommendations for leave WITHOUT pay, whenever it appears

that the granting of such leave will not be prejudicial to the interests of the University. In considering

a request for leave WITH pay, the Faculty member or Administrative Staff should bear in mind that it

is the policy of the Board of Regents that such leave shall be granted only for the purposes of

promoting scholarly work and encouraging professional development. The President will examine

carefully the program or project on which the applicant for a leave proposes to work, and consider

the likelihood of the applicant’s being able to accomplish the purposes for which leave is requested.

In considering a request for a leave, the President will take into consideration the effect that the

granting of the leave will have on the University and/or on the Department/Unit of which the applicant

is a member. If the applicant's work cannot be handled by other Faculty members 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. If, after careful consideration, the President believes that the interests of the University and of the Faculty member will be served by the granting of the leave requested, he or she shall submit a recommendation through the Chancellor to the Board of Regents to this effect, together with a statement of the reasons supporting his recommendation.

The Board of Regents ordinarily will not approve a request for a leave with pay if the applicant has

been employed at an institution for the period of less than three years, nor will it ordinarily approve a

leave with pay for a person in an academic position who has not already completed the requirements for a master's degree.

Any Faculty member who has been granted a leave of absence with pay shall be required, before

beginning the leave, to sign an agreement that the full amount of compensation received while on

leave will be returned should the Faculty member not return to the University for at least one year of

service after the termination of the leave.

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 persons in the University System who are retired from active

duty and who are drawing retirement benefits from the Teachers Retirement System of Georgia or

from the University System.

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(BR Policy No. 803.15)

805.16 ANNUAL LEAVE (VACATION)

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B. Faculty members as defined in Section 801.01 of this Manual employed on a twelve (12) month or fiscal

year basis shall be entitled to vacation earned at the rate of one and three-fourths (1-3/4) working days per month.

All working days during the fiscal year shall be counted, absences during academic calendar breaks shall be

recorded as vacation, and all vacation days shall be recorded on Albany State University leave records.

B. Earned vacation may be accrued up to a maximum of forty-five (45) working days and Faculty members,

upon termination of service from the University, shall be compensated for all accrued vacation time up to but not

exceeding forty-five (45) days. The compensation shall be based on University leave records. A terminating

employee shall not accrue vacation leave after the last working day of his or her employment.

B. Vacation shall be taken at times mutually acceptable to the employee and his or her Supervisor. **FACULTY MEMBERS EMPLOYED ON AN ACADEMIC YEAR (nine months) BASIS DO NOT EARN VACATION TIME.** Upon termination of the fiscal year contract, Faculty members changing from a fiscal year contract to an academic year contract shall be paid their accrued vacation time subject to the forty-five (45) day maximum restriction.

(BR Policy 803.16)

805.17 EMERITUS TITLE

The Board of Regents may confer, at its discretion, the title of "Emeritus" on any retired and tenured

Professor, Associate Professor, or Assistant Professor, or Board-approved non-tenure track faculty

of equivalent rank, who, at the time of retirement, had ten years or more of honorable and

distinguished service in the University System. Also, the Board may confer, at its discretion, the

title of "Emeritus" on any Board-approved retired Administrative Officer who, at the time of

retirement, had ten years or more of honorable and distinguished service in the University System.

This title may be conferred by the Board upon the recommendation of the President of Albany State

University, and upon the recommendation of the Chancellor and the Committee on Education.

(BR Policy No. 803.17)

806 EMPLOYEE BENEFITS PROGRAMS

806.01 SOCIAL SECURITY

806.0101 Applicability

Terms, conditions, requirements, reservations, benefits, privileges, and other conditions of Title II of the Social Security Act, as amended, apply to all officers and employees of Albany State University except those specifically excluded under the agreements with the Employees' Retirement System of Georgia providing coverage.

806.0102 Coverage

Under agreements between the Employees' Retirement System of Georgia and the Board of Regents, University System of Georgia, Social Security coverage was extended to the following classes of employees:

- a. All employees eligible for the Teachers Retirement System of Georgia;

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- b. All full-time custodial and maintenance personnel and hourly employees (not eligible for

Teachers Retirement System); and

- c. All temporary, seasonal or intermittent employees whose work hours are a normal full-time working period.

806.0103 Exclusions

The following employees are not covered by Social Security: student assistants, graduate assistants, laboratory assistants, and employees working less than half-time. Non-immigrant aliens are not exempt, in accordance with the provisions of their visas.

806.0104 Required Withholding

There shall be withheld from any salary or compensation due any employee covered by Social

Security a percentage of salary, wage or compensation required to be withheld by the Act, whether

computed in cash, quarters, subsistence, or in kind and reserved in a University agency account for

quarterly remittance to the Employees' Retirement System of Georgia (which includes the Teachers

Retirement System). Rules and regulations of the Employees' Retirement System of Georgia for administration of the Act shall be followed.

806.0105 Effective Date

The provisions of the Federal Old Age and Survivors Insurance System were extended to employees of nonprofit institutions in 1950.

806.0106 Enrollment

Covered employees are automatically enrolled on the initial date of employment with no forms or physical examinations required. Each employee must have a social security number and is responsible for ensuring that it is properly recorded on his or her payroll records.

806.0107 Payroll Deduction

Social Security tax deductions are made and remitted to the Federal government. This amount is

reflected on the W-2 form provided at the end of each year. The employee should notify the Office

of Human Resources Management immediately if an error is noted in this deduction.

806.0108 Mandatory Medicare Coverage

The 1985 Consolidated Omnibus Budget Reconciliation Act (COBRA) mandates Medicare coverage

for certain employees otherwise exempt from Social Security. The current contribution rate is 1.45% for the employee and is matched by the University.

806.02 WORKERS' COMPENSATION

All employees of the University, regardless of status, are covered by provisions of the Workers' Compensation Act, currently administered by the Department of Administrative Services, State of Georgia. This protection provides benefits to employees who are injured on the job.

806.0201 Report of Injury

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When injured, an employee should report the accident, regardless of severity, to his or her

Immediate Supervisor, who must complete immediately, or as soon as practicable, the First Report

of Injury Form and forward it to the Office of Human Resources Management.

806.0202 Medical Treatment

Injuries requiring medical treatment should be attended immediately. If required, the employee should be taken to the nearest emergency room or to one of the physicians listed on the "Panel of Physicians" posted in the work area, as applicable.

806.0203 Emergency Treatment

Should the nature of the injury require emergency treatment at a facility equipped to handle trauma,

the employee should be taken to an emergency room or similar facility. Charges are covered.

806.0204 Reimbursement of Expenses

If an injured employee incurs personal expense for drugs, ambulance, etc., he or she should furnish

receipted bills to the Office of Human Resources Management so that reimbursement for such expense can be expedited.

806.0205 Payment of Benefits

Following a seven-day waiting period, an injured employee is eligible for weekly indemnity from Workers' Compensation. An employee may use sick leave in lieu of the Workers' Compensation benefit in order to maintain his or her normal level of compensation.

806.03 GROUP INSURANCE PROGRAMS

Regular employees working half-time or more are eligible, upon employment, to participate in a

comprehensive group insurance program. Coverages include life, health, dental, major medical and

disability income protection. Certain of these programs are paid in full by Albany State University with participation in others ranging from approximately 81.1% to non-contributory.

806.0301 Basic Life Insurance

Albany State University provides a \$25,000 life insurance program to all regular employees working

half-time or more. This program features an accidental death and dismemberment benefit of equal

value and a disability income provision for those covered prior to November 1, 1980.

This program is continued into retirement for employees having ten years of current, consecutive

service, with Albany State University paying 100% of the program's cost. The amount of insurance

available in retirement depends upon the employee's salary upon retirement.

806.0302 Supplemental Life Insurance

Employees may purchase additional life insurance to supplement their estate. Such coverage is

based on a multiple of contract salary (budgeted salary), with premiums based on age. Portions of

the supplemental life amount can be carried into retirement, provided the employee has met eligibility requirements.

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806.0303 Dependent Life Insurance

Family life insurance with a maximum limit of \$10,000 per eligible dependent may be purchased by the eligible employee. Dependent coverage, for eligible employees, may be continued at a reduced level upon retirement.

806.0304 Life Insurance Benefits at Retirement

Career employees of the University System (Albany State University) who immediately retire from the University System under the criteria established by the Teachers Retirement System (even though they may not be members of the Teachers Retirement System) shall remain eligible to continue as members of the basic and dependent group life insurance and health benefits plans. In

order to qualify for this benefit, the retiring employee must have ten (10) years of continuous service

to the state of Georgia of which the final two (2) years of such continuous service must have been to

the University System of Georgia.

The University System shall continue to pay its portion of the cost of group insurance for retired

employees. Nothing in this statement of policy shall be interpreted to reduce the benefit committed

to existing career employees.

Premiums for supplemental life insurance are the Retiree's responsibility.

806.0305 Group Health Insurance

The Group Health Plan provides extensive coverage for health care costs for University employees. This is a self-insurance program with no third party involvement other than the Health Claims Administrator employed to interpret policy provisions and pay claims submitted in accordance therewith. Cost of the program is shared, with Albany State University currently paying approximately 78.2% of the monthly premium for employees and/or covered dependents. The employee currently pays approximately 21.8%.

806.030501 Enrollment

Employees must exercise their enrollment right within 31 days of employment or be required to await the next open enrollment period declared by the Board of Regents. Eligible dependents, as defined by policy, also must be enrolled within thirty-one days of their eligibility.

806.030502 Calendar Year Deductible

Prior to any payment being made under the health plan, the employee and/or dependents must pay the initial \$200 in covered medical expenses. The family deductible is \$400 which allows

combination of medical expense of other covered dependents once two family members have met

individual deductibles.

806.030503 Calendar Year Carryover

Expenses incurred during the last calendar quarter which are applied to the deductible may be carried forward and used in meeting of the ensuing calendar year deductible.

806.030504 Covered Charges

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Charges for services rendered by a legally licensed physician or dentist for oral surgery, drugs, registered nurses, laboratory and x-ray charges are among the covered charges insured by the program.

806.030505 Claims Administration

Full-time claims service is available in the Office of Human Resources Management, and employees

are urged to consult with the appropriate person prior to, or after, incurring covered expenses which

are to be reimbursed. Such consultation will ensure more expedient claims payment.

806.030506 Insurance Benefits for Employees on Leave

Any University employee who is on an approved leave of absence may elect to continue his group health insurance coverage. Such coverage for those on leave without pay shall not exceed one year; whereas, those on leave with pay shall have this option for the duration of such leave. An employee on leave must pay premiums regularly.

806.0306 Policy Provisions

The basic health plan features certain protection once the calendar year deductible is met.

806.030601 Hospitalization

Reasonable and customary charges for inpatient care are reimbursed at 90%. Semi-private room rates are the maximum allowable charge for consideration.

806.030602 Other Medical

Following a \$200 calendar year deductible, all reasonable and customary charges for medical and surgical expenses will be reimbursed at 80%.

806.030603 Pre-admission Review

Scheduled hospitalization of a non-emergency nature requires a pre-admission review to avoid loss of benefits. Employees should contact the Office of Human Resources Management to make certain policy provisions have been met.

806.030604 Out-of-Pocket Limit

Reasonable and Customary charges will be reimbursed at 100% for a twelve month period once the incurred charges equal \$1000 for an individual or \$2,000 for a family. This provision limits the “out-of-pocket” expense involved in major medical expenses to the employee’s deductible and coinsurance charges for covered charges.

806.030605 Out-Patient Services

Certain procedures when performed on an outpatient basis may be reimbursable at 90% with no applicable deductible. Questions concerning such procedures should be directed to the Office of Human Resources Management.

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806.030606 Details of the basic health plan are available in a printed brochure, and employees are encouraged to review this material carefully. Questions concerning coverage should be directed to the Office of Human Resources Management.

806.0307 Dental Insurance

After a \$50 per person per year deductible, this program reimburses 80% of covered charges.

Preexisting conditions are excluded when replacement of teeth missing at date of employment is

involved and reasonable and customary charges for service rendered determine the covered charge

limit. Calendar year reimbursement is limited to \$1,000 per person. Lifetime maximum orthodontic benefits are limited to \$1,000 per person.

806.0308 Medicare Coordination

Upon eligibility for Medicare, employees and their dependents must enroll because the University

System's self-insurance program requires benefit coordination. Premium reduction for Medicare

coordination is allowable and employees so affected should immediately report Medicare insurance

enrollment to the Office of Human Resources Management.

806.0309 Health Coverage at Retirement

Employees having met the criteria for retirement with the Teachers Retirement System, with ten

years of continual service with the University System at date of retirement can continue their health

benefits at retirement. In such cases, the University will continue its participation in the cost of the program.

806.0310 Health Coverage for Dependents of a Deceased Employee

In the event of the death of an employee or retired employee, provisions exist for continuation of the

health insurance program for dependents of the deceased. Upon death of an employee or retiree, the Office of Human Resources Management will advise dependents such rights and will assist in obtaining continued coverage.

806.0311 Long-Term Disability

The employee pays the cost of the program. Further details are available in the Office of Human Resources Management.

806.0312 Continuation of Health Coverage Following Termination of Employment or Loss of

Eligibility

The Consolidated Omnibus Budget Reconciliation Act (COBRA) which became effective July 1, 1986, requires the University to extend coverage under the group health and supplemental health programs when certain qualifying conditions are met.

806.031201 Qualifying Events

The following circumstances are those which are directly addressed by the law and which will require the employer to offer extended coverage for the designated period.

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A. Coverage for eighteen (18) months must be offered to employees and/or dependents if health coverage

would terminate due to:

Lay off,

Reduction to less than 20 hours weekly,

Voluntary termination of employment, or

Discharge for reasons other than "gross misconduct."

When these "qualifying events" occur, coverage for an eighteen (18) month period is available. Should the individual be re-employed, become covered by another group, become eligible for Medicare, or fail to make timely premium payments, this coverage would be canceled immediately.

Following the specified period, this coverage will automatically end.

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A. Coverage for a thirty-six (36) month period will be offered should any of the following "qualifying events" occur.

Death of an employee who has less than 10 years of current consecutive service, Divorce or legal separation of the employee and spouse, or Cessation as a "dependent" according to plan definition.

Any of the following events eliminate the employer's liability and result in immediate benefit cancellation:

Remarriage and coverage under any other group plan for a widowed or divorced spouse;

Subsequent coverage as a dependent child under any other group plan;

Coverage as an employee under any other group plan,

Eligibility for Medicare; and/or

Failure to make timely premium payments.

806.031202 Premium Payments

Individuals desiring extended coverage are responsible for advanced premium payments and must

pay the entire premium of the plan plus a 2% administrative charge. An employee's failure to pay such advanced premiums will lead to cancellation of coverage on the first day of the month.

Therefore, all premiums must be paid no later than the 25th of each month for the ensuing month's

protection.

806.031203 Employee Responsibility

An employee or covered individual is required to notify the employer should any of the mentioned "qualifying events" occur.

806.031204 Employer Responsibility

Once notified, the employer must allow at least 60 days for an eligible individual to elect coverage under the group plan.

806.04 FLEXIBLE SPENDING ACCOUNT PLANS (PRETAX PREMIUM ACCOUNT PLANS)

A "flexible benefit" plan is made available to all employees who are eligible for benefits.

Authorization for the establishment of a flexible benefit program is found in the Internal Revenue

Service Code, Section 125, and the Board of Regents program has been approved by the Internal

Revenue Service and the State of Georgia Attorney General. The options offered in the flexible benefit program are briefly described below. An employee may request complete details from the Office of Human Resources Management.

806.0401 Pre-Tax Premiums

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An employee may elect to participate in the pretax premium program. Essentially, the employee

selects the group health and/or supplemental life insurance coverage desired and then advises the

Office of Human Resources Management to pay these premiums with pretax dollars. The salary

reduction for premiums avoids Federal, State and Social Security taxation on the premium amount.

806.0402 Spending Accounts

This option takes two forms, dependent care and non reimbursed health care expenses. The basic

principle is the same as with the premium account; however, employees must make reasonable estimates of cost to ensure that the salary reduction is not excessive. The spending accounts are more difficult to determine in certain situations, and excess reductions which are not spent for the designated expense are lost at the end of the year.

806.040201 Dependent Care

An individual having a qualified dependent for whom he or she incurs day care or similar expense in order to work may elect to reduce his or her salary for the amount of these charges and pay the expenses on a pretax basis. The employee pays for such expenses and upon completion of a reimbursement voucher is “paid back” from his or her spending account.

806.040202 Health Care Spending Account

The payroll and reimbursement procedure is the same as with dependent care; however, the reduction is more difficult to project in certain cases. Upon receipt of the required documentation, non reimbursed health care expenses are “paid back” to the employee from the spending account. Detailed explanation of the Spending Account Benefit Program is available in the Office of Human Resources Management.

806.05 GEORGIACARE PROGRAM

The Medical College of Georgia in Augusta, as the State’s health sciences university, is a center for

providing quality medical care for patients, discovering the causes and cures of disease, and training future health care providers.

The Board of Regents of the University System of Georgia has designated the Medical College of Georgia Hospital and Clinics as the preferred health care provider for employees of the University System. As the preferred provider, the Medical College is offering a program, called GeorgiaCare, through which Faculty and Staff insured under State group health insurance programs can receive

medical care at the Medical College of Georgia Hospital and Clinics on a cost saving basis.

Under the GeorgiaCare program, Albany State University’s group health insurance premium continues as established with the employee paying the same medical deductibles. Once these expenses have been satisfied and when health care services are provided at the Medical College of

Georgia Hospital and Clinics in Augusta, any expenses remaining on covered services after insurance pays will be waived. Faculty, Staff, and dependents choosing to take advantage of GeorgiaCare will realize tremendous savings.

The Office of Human Resources Management will furnish a brochure which explains how

GeorgiaCare works within the guidelines of the University's current group health insurance program

and includes an application for a GeorgiaCare card. While having a GeorgiaCare card prior to

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receiving treatment at the Medical College is not mandatory, there are advantages to getting the card before one needs medical care.

806.06 TAX-SHELTERED ANNUITY PROGRAMS

Albany State University is authorized by the University System of Georgia to enter into taxsheltered annuity plans to make available for its employees a non forfeitable annuity contract under the provisions of the 1954 Federal Internal Revenue Code, Section 403(b). The University currently authorizes six tax-sheltered annuity sources for its eligible employees. They are Variable Annuity Life Insurance Company (VALIC), Equitable Life, Lincoln Investment Planning, Inc., Mutual of America, IDS Financial Services Inc. and a deferred compensation plan offered through the Georgia State Merit System.

Employees may obtain from the Office of Human Resource Management detailed information and/or

application forms for these benefit programs.

806.07 RETIREMENT

806.0701 Retirement Systems

It is the policy of the Board of Regents of the University System of Georgia to provide for the retirement of all eligible employees through the Teachers Retirement System of Georgia, the Regents' Retirement Plan (Optional Retirement Plan for those employees identified in Sections 801.0101 and 801.0102 of this Manual), and the Georgia Defined Contribution Plan (for temporary,

seasonal and part-time employees of the State of Georgia who are not eligible for membership in other retirement systems of the State of Georgia).

806.0702 Compulsory Retirement Age

There is no compulsory retirement age. The Compulsory Retirement Age for Tenured Employees was repealed December 9, 1993. (BR Policy No. 802.0902)

806.0703 Permissive Retirement Age

All employees of Albany State University subject to the provisions of the Teachers Retirement Law

are subject also to the rules, regulations and Policies of the Teachers Retirement System regarding

permissive retirement. (BR Policy No. 802.0903)

Permissive retirement is generally considered age 60; however, employees covered by the Teachers

Retirement System may retire at any age upon completion of thirty years of creditable service. All employees must complete a minimum of ten years service and otherwise be eligible for retirement benefits carried forward into retirement.

Any University employee considering retirement should consult the Office of Human Resources Management sufficiently in advance to determine specific individual benefits applicable to them at retirement.

806.0704 Teachers Retirement System (TRS)

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The Teachers Retirement System of Georgia was established by the General Assembly in 1945 and

placed under the supervision of a Board of Trustees. Following July, 1978 amendments, all regular

half-time or greater employees were required to participate in the retirement program, and optional

participation for those previously non covered employees was extended.

The following paragraphs summarize major provisions of the Retirement System. Further details are

available in the booklet "TRS Facts" produced annually by the Retirement System and available in

the Office of Human Resources Management.

806.070401 Membership

Upon employment, an eligible employee is required to complete an application for membership which is forwarded to the Retirement System by the Office of Human Resources Management. Upon receipt and approval, the Retirement System issues a membership number, thus activating the individual's account.

The remittal of employee contributions is made each month to the Retirement System and credited

to the appropriate member account. The current employees' contribution is 5%, with the State contributing approximately 11.95%.

These contributions are held by the Retirement System until the employee retires or requests

withdrawal upon termination of employment. State contributions are never refunded to the employee

but are maintained by the System to ensure solvency of the fund.

806.070402 Ineligible Employees

With the 1978 amendments covering virtually all regular half-time or greater employees regardless of

job classification, the following are not eligible for the program:

Student Employees - those students employed in other than regular budgeted positions;

Temporary Employees - those persons employed on a temporary basis not to exceed six (6) calendar months; and Part-time Employees - those employed on a part-time basis of less than 20 hours weekly.

806.070403 Withdrawal of Member Contributions

An employee who is leaving the University (University System) may request a refund of contributions, plus interest accrued thereon, by completing the Application for Return of Contributions. Normal processing on refunds requires six weeks but may be somewhat longer during the June through September period.

806.070404 Service Credits

Employees may establish credit for military service, for service in employment covered by the

Teachers Retirement System but subsequently withdrawn, or for service to non-State public

supported educational institutions. Those employees who believe that they are eligible to establish

such service should contact the Office of Human Resources Management.

806.070405 Vested Interest

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An employee having ten years of creditable service is said to have vested interest in the Teachers

Retirement System. Such creditable service must consist of at least a minimum of five years of

current service to which military service credits and prior in-State service credits may be purchased

and established. Vested interest, simply put, is the guarantee of retirement income at the normal or permissible retirement age, regardless of the individual's employment status at that time.

806.070406 Retirement Plans

A member having vested interest in the Retirement System, and having attained age 60, should an

early retirement be preferred, can elect benefits from any of several retirement plans.

Plan A - This represents straight formula-based retirement (Length of Service X Years of Creditable Service X Multiplier) and represents the maximum retirement allowance payable to a member. Upon death of the member, a refund of unused member contributions is made to the designated beneficiary.

Plan B - This Plan is a series of options which include certain benefits guarantees to designated beneficiaries but at reduced (discounted) benefits of Plan A. The options are summarized below:

Option 1. A reduced monthly benefit to the member with a refund of contributions and interest to the designated beneficiary upon death of the member, provided the benefits received do not exceed the annuity portion of the monthly benefit during the member's lifetime;

Option 2. A reduced monthly benefit, based on the member's and the beneficiary's ages, payable as long as either is alive. Once retirement benefits have begun, beneficiaries cannot be changed;

Option 3. A reduced monthly benefit based on the member's and beneficiary's ages, guaranteeing 50% of the member's benefit to the beneficiary upon death of the member. Once retirement benefits have begun, beneficiaries cannot be changed;

Option 3 - Pop-up Members may select a reduced retirement benefit to be designated, "Option 3 Pop-Up," which provides that if the beneficiary dies prior to the member's death, the member's benefit will increase to an amount as though he or she had not selected a beneficiary plan of retirement. The cost for Option 3 - Pop-Up is an additional 2% reduction in the factor used to determine the cost of Option 3. Under this option, only one beneficiary can be selected.

Option 4. This option allows a member to specify a monthly amount - other than those provided for in the other options - which will be paid to a beneficiary after the member's death. Members may provide monthly benefits to multiple beneficiaries by designating a percentage of available survivors benefits to each beneficiary. The total percentage so specified cannot exceed 50% of the benefit calculated under the maximum plan. If multiple beneficiaries are designated and one or more beneficiary predeceases the member, the percentages are not adjusted. Beneficiaries also receive a pro-rata share of any cost-of-living increases the member received up to the date of death.

806.070407 Disability Retirement

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Any member having at least nine and one-half (9½) years of creditable service is eligible for disability retirement if permanently disabled.

806.070408 Tax Status of Retirement Contributions

Effective July 1, 1987, contributions to the Teachers Retirement System have the effect of reducing

salary subject to Federal income tax. This was made possible by Legislative action and is in

keeping with the Internal Revenue Code which allows an “employer pick up” of mandated retirement

contributions.

Effective with salaries paid for and after January 1, 1990, contributions are also made on a “before

State of Georgia Income tax” basis.

806.070409 Tax Status of Retirement Benefits

Monthly retirement benefits are subject to Federal and State income taxes. For those who prepaid taxes on contributions prior to the change in law in July 1987 and January 1990, Federal and State taxable income taxes are computed on a pro rata basis with a certain portion of each benefit being tax exempt.

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B. Disability Retirement

Disability benefits may be excluded as “sick pay” until the member reaches normal retirement age, currently 63. When a member attains this age, benefits must be treated in the same manner as service retirement income.

806.070410 Employment Beyond Retirement

When a person has retired from the University System and is receiving benefits from the Teachers

Retirement System or the Regents’ Retirement Plan, payment for services rendered to Albany State

University (or any unit of the University System) by that person without prior approval by the Board

of Regents is prohibited. In no event shall payment for services rendered be considered if

compensation for that time, together with benefits from the Teachers Retirement System (TRS), the

Employees' Retirement System (ERS) or the Regents' Retirement Plan (RRP) exceed the compensation the individual was earning at the time of retirement. (BR Policy No. 802.0904)

806.0705 Regents' Retirement Plan (Optional Retirement Plan)

Regent's Retirement Plan (Optional Retirement Plan) Employees identified in Sections 801.01 and

801.02 are eligible to elect retirement coverage plans other than the Teachers Retirement System Plans. Such optional plans are more "portable" and provide for immediate vesting.

Details on the specific plans approved by the Board of Regents as well as time and conditions for

electing this option are available from the Office of the Vice President for Academic Affairs and the

Office of Human Resources Management. Current employee contribution rate is 5%, and the State's contribution rate is 8.34%.

806.0706 Georgia Defined Contribution Plan

The Georgia Defined Contribution Plan was created by 1992 Georgia Law, Act 996 and was effective

July 1, 1992. The purpose of the law is to provide a retirement system for temporary, seasonal and

part-time State of Georgia employees who are not eligible for membership in other State retirement

systems.

806.070601 Individuals Covered

Individuals employed by the University and ineligible for either of the above described retirement plans are covered, with the following exceptions:

Persons working for the University and regularly enrolled and attending classes (i.e., Students who are regularly enrolled and attending classes at a unit of the University System of Georgia and employed by a unit of the System);

Persons qualified as bona fide independent contractors;

Any part-time employee who is covered by the Employees' Retirement System or the Teachers Retirement System by their primary employer. (This means that public school teachers and other State employees, regardless of the source of funding, are not required to participate.

Proof of such employment must be provided to the University.); and

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Re-employed Retirees currently receiving a retirement benefit from a State retirement plan. (Any

individual retired from a pension plan other than Employees' Retirement System or the Teachers Retirement System are not exempt and must be a member of Georgia Defined Compensation Plan.)

Any other part-time employees who are not eligible for University benefits and who are not having Social Security deductions taken must participate in this Plan.

806.070602 Contributions

Members contribute seven and one-half per cent (7.5%) of gross salary to the plan through payroll

deductions. The deducted amount is credited to the member's individual account. More specific and detailed information about this Plan is available from the Office of Human Resources Management.

806.08 RETIRED EMPLOYEES INSURANCE

It shall be the policy of the University to permit retiring career employees to continue as members of

the group life and health insurance programs. To this end, employees who immediately retire under

the criteria established by the Teachers Retirement System (even though they may not be

members of the Teachers Retirement System) shall remain eligible to continue as members of the

health benefits plans. In order to qualify for this benefit, the retiring employee **must have at least**

ten (10) years of continuous service to the State of Georgia of which the final two (2) years of such continuous service must have been to the University System of Georgia.

The University shall continue to pay its portion of the cost of group insurance for retired career

employees. Nothing in this statement of policy shall be interpreted to reduce the benefit committed

to existing career employees.

806.09 DISABLED EMPLOYEES INSURANCE

Employees who become permanently and totally disabled under the criteria established by the

Teachers Retirement System of Georgia and also have at least ten years of service with the

University, even though they may not be members of the Teachers Retirement System, shall remain

eligible for employee and dependent group health and life insurance benefits. The University shall continue to pay its portion of the cost of group insurance for disabled career employees.

Based on the same criteria, other disabled employees may remain in the group health and life

insurance program for a period of twenty-four (24) months with full University participation in the

cost. The inclusion in the group may continue after the twenty-four (24) month period, but University

participation in the cost shall cease.

806.10 DEPENDENTS OF DECEASED EMPLOYEES, RETIREES OR DISABLED EMPLOYEES

The dependents of an employee who dies while in active service or the dependents of a retired

employee (either of whom was eligible for retirement under the criteria established by the Teachers

Retirement System, even though he or she may not be a member of the Teachers Retirement

System) may remain in the group for life and health insurance purposes with University participation

in the cost.

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The dependents of other employees or retired employees who are in the group for life and health insurance purposes may remain in the group for a period of no more than twenty-four (24) consecutive months after the death of the employee, with full University participation in the cost. The inclusion in the group may continue after the twenty-four (24) month period, but University participation in the cost shall cease.

In no event shall the dependents of the deceased continue in the group after the death or remarriage

of the surviving spouse. Dependent children may remain in the group until they become eligible for

another group benefits plan. The definition of dependent children shall be as published in the Board

of Regents' brochure. (BR Policy Sections 802.1005 and 802.1006)

806.11 WORKERS' COMPENSATION BENEFITS

All Albany State University employees are covered under provisions of the Workers' Compensation Act.

806.12 UNEMPLOYMENT INSURANCE

Regular employees of Albany State University are covered by the provisions of the Georgia

Employment Security Act, commonly referred to as Unemployment Compensation, which

guarantees income to employees who are separated from University employment through no fault of

their own. The Act requires that such employees be able and available for work and that they have

been unsuccessful in finding work.

An employee that becomes unemployed should contact the nearest Georgia Department of Labor Office to file an unemployment insurance claim.

806.13 CREDIT UNION

Employees of Albany State University and members of their immediate family may participate in the

DOCO School Employees Federal Credit Union, a full service banking institution.

Employees

desiring enrollment forms, payroll deduction authorization forms or other information should contact

the Office of Human Resources Management.

806.14 UNITED STATES SAVINGS BONDS PROGRAM

Albany State University participates in United States Savings Bonds programs, including annual drives, payroll deduction (bond-a-month), etc. Specific information is available from the Office of Human Resources Management.

806.15 UNIVERSITY SERVICES

Employees of Albany State University and their dependents have a number of campus facilities and

services available to them. In most cases, the University Identification Card is required to gain admittance, obtain the discount or to use such services.

Among these benefit services are the following:

A. University Bookstore - Access and an employee discount;

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B. Food Services - Access and an employee discount. Catering may also be obtained;

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B. Library - Access and use of copying machine for a minimal charge;

D. Notary Public - Notarization of legal documents or other instruments, at no cost through the Office of Human Resources Management; and E. Lost and Found - Articles found by employees (who must take such articles to the office of Public Safety if the owner cannot be identified).

806.16 FAMILY LEAVE

Any Albany State University employee who has worked full-time for at least twelve months is

eligible for twelve (12) work weeks of family leave during a twelve-month period commencing on the

date the family leave begins. Family leave shall be unpaid leave; however, if an employee is eligible

to use accumulated sick leave the employee, after obtaining approval of the President of the

University or his or her designee, may do so exclusive of the twelve weeks of family leave. With the

approval of the President of the University or his or her designee, the employee may also use any accrued annual leave.

806.1601 Entitlement to Family Leave

Family leave shall be granted to an eligible employee in the event of:

1. The birth of the child of the employee;
2. The placement of a child with the employee for adoption;
3. A serious health condition of the employee's child, spouse, parent or spouse's parent necessitating the employee's presence; or
4. A serious health condition of the employee which renders him or her unable to perform his or her duties.

806.1602 Return to Position Previously Held and Maintaining Benefits

With certain exceptions as indicated in the Family Leave Act (Georgia Laws, 1992. p. 1855;

O.C.G.A. Title 45, Chapter 24), family leave entitles the employee to be restored to the position held

prior to going on family leave or to an equivalent position with equivalent benefits and pay. Family

leave allows the employee to maintain his or her employee benefits during the leave, with University

participation in the payment of premiums.

806.1603 Administration of Family Leave

Albany State University will administer Family Leave in accordance with all provisions of Georgia Code of Laws, 1992, p. 1855; O.C.G.A. Title 45, Chapter 24. (BR Policy No. 802.0806)

806.17 TUITION REIMBURSEMENT AND REMISSION

Albany State University is committed to the University System of Georgia's mission to provide

assistance to full-time employees seeking professional growth and development. Albany State

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University's full-time employees employed for at least six months (and/or eligible for benefits) are eligible to enroll in classes on a space available basis.

806.1701 Purpose

The Board of Regents of the University System of Georgia is committed to the need for the continued professional growth and development of system personnel. It considers support for

educational expenses of personnel an important vehicle for addressing that need. The Tuition

Reimbursement and Remission Policy (BOR Policy Manual 803.1407) is designed to foster the

professional growth and development of the University System's full-time employees. As evidence of

its commitment to academic achievement and professional development, the Board of Regents of

the University System of Georgia helps its employees increase the effectiveness of their performance in their present positions. The Board of Regents of the University System of Georgia

also encourages them to obtain skills, knowledge and abilities that may improve their opportunities

for career advancement within the University System.

This program is offered subject to space being available in the course and funds being available

within each institution or the Central Office. When an employee is required to attend certain

educational programs or when completion of certain educational programs is mandatory for retaining

their current position, this policy does not apply.

806.1702 Definitions

Home Institution - Institution where the employee is employed (Albany State University). Central Office employees' home institution is the institution where they are admitted. **Tuition Remission** - Tuition assistance that results in the waiver of tuition and fees when an employee attends their home institution for course work.

Tuition Reimbursement - Employee is reimbursed for tuition and fees that the employee has paid

to another institution (not employee's home institution), provided that the employee earns a "C" or better in the course.

Employee Registration - The period, after registration closes, when an employee can register for

courses that are not full. The courses must have space available for additional students.

806.1703 Eligibility

Subject to availability of funds and space being available in the course, any full-time employee at a

University System of Georgia Institution (Albany State University) who is eligible for benefits and

who has been employed by a University System of Georgia Institution for at least six months may,

upon the approval of the employee's supervisor and the Vice President for Fiscal Affairs, be eligible

to participate.

Subject to availability of funds and space being available in the course, all full-time staff of the Board

of Regents of the University System of Georgia who have been employed by the Regents or a University System of Georgia Institution for six (6) months may, upon approval of the appropriate Senior Vice Chancellor or Chancellor, be eligible to participate.

Personnel must meet the institution's requirements for admission and are subject to institutional regulations and academic procedures.

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The employee's supervisor must verify that the employee's attendance at classes will not adversely

affect department services or activities, if course work is taken during regularly scheduled work hours.

The employee must agree to satisfactorily complete the course(s) and to show evidence of

completion. An employee cannot receive additional tuition assistance or educational reimbursement

until these requirements are met.

The only courses available under this policy are those that are **job-related**.

This policy does not waive the institution's application fee.

806.1704 Application Procedures

Application for tuition for a course is made by completing the Application for Tuition Remission or

Reimbursement form (Form TR-01) and submitting it to one's supervisor at least 30 days before the

employee registration period. See Appendix Number 806.1704-1.

The employee's supervisor is responsible for approving or denying the request. The supervisor must

forward all applications for tuition remission and reimbursement through the Office of Human

Resources Management to the Office of the Vice President for Fiscal Affairs. The Office of Human

Resources Management will verify employment eligibility, complete Section III of the form and sign

it. The supervisor and the Vice President for Fiscal Affairs (or other appropriate Vice President)

review the request to determine job or career relatedness. If approved, the Vice President for Fiscal

Affairs completes Section IV of the Tuition Form outlining job relatedness and forwards the original

form to the University Registrar. Copies are retained by the appropriate officials. If the supervisor or

other University official rejects the request, the form is returned to the requesting employee indicating that the request was not approved.

To participate in the program, the employee must register for courses during the employee

registration period. Any employee who registers for a course during the normal registration period

will not be eligible for remission or waiver. Employees will be asked to provide evidence of the date

of registration.

The employee can appeal adverse determinations to the University President. Central office employees can appeal the decision to the Senior Vice Chancellor for Human Resources and External Affairs. Decisions are not appealable to the Board of Regents.

806.1705 Courses Allowed to be Taken

Job-related courses are defined as those in which the course content is of direct and significant assistance to the employee in carrying out present duties and responsibilities or in his or her professional development. Courses that are not directly related to a specific job, but form part of a job-related degree program (career related), also qualify for this benefit. Course work or training undertaken at an employee's initiative for self-enrichment does not qualify. Under this program employees may be reimbursed or have tuition waived for up to two academic credit courses per term on a space available basis.

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Courses must be taken for credit at a regionally accredited, degree-granting college or university. However, course work may be taken at a Department of Technical and Adult Education ("DTAE") institution and any University System of Georgia ("USG") Institution. Course work at USG institutions is encouraged. No continuing education courses or auditing of courses is permitted.

Course work at private institutions will be only reimbursed when the equivalent course is not

available at a USG institution. Reimbursement for course work taken at private institutions shall be limited to the in-state rate of an equivalent course at the home institution.

Courses should normally be taken outside of normally scheduled working hours. However, if the

course is not offered at that time and the course is taken during working hours, the employee must

have the approval of his or her supervisor. The supervisor must verify that the employee's attendance

at classes will not adversely affect department services. The employee will make up the time devoted to classes taken during working hours. Enrollment in courses by an employee should be managed so that it does not create extra work for co-workers.

806.1706 Approval Process

A. Courses Taken Outside of Normally Scheduled Working Hours

1. TUITION REMISSION

- At least 30 days prior to course registration: Employee completes Section I of the Tuition

Form and submits it to his or her supervisor.

- The supervisor reviews the request to determine job or career relatedness. He or she completes Section II of the Tuition form and forwards it to the Director of Human Resources Management who completes Section III of the form that determines eligibility. The form is then forwarded to the Vice President for Fiscal Affairs who completes Section IV of the form, signs it and returns the original of an approved form to the employee and retains a copy. If disapproved, the form is returned to the requesting employee indicating that the request was not approved.
- Employee receives a Tuition Form to be taken to the Registrar's Office where the remission is recorded.

2. TUITION REIMBURSEMENT

- At least 30 days prior to course registration: Employee completes Section I of the Tuition

Form and submits it to their supervisor.

- The supervisor reviews the request to determine job or career relatedness. He or she forwards the form to the Director of Human Resources Management who completes Section III of the form that determines eligibility. The form is then forwarded to the Vice President for Fiscal Affairs who completes Section IV of the form, signs it and returns the original of an approved form to the employee and retains a copy.. If the request is rejected, the form is returned to the employee indicating that the request was not approved.
- After satisfactorily completing the course(s), with a grade of "C" or better, the employee seeks reimbursement through the Office of the Vice President for Fiscal Affairs. Employee must show proof of satisfactory completion of the course work if done any place other than his home school.

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B. Courses Taken During Normally Scheduled Working Hours

I. TUITION REMISSION

- At least 30 days prior to course registration: Employee completes Section I of the Tuition

Form and submits it to the appropriate supervisor/dean/department head.

- **The supervisor must verify on the tuition form that the employee's attendance will not adversely affect department services or activities.**
- The supervisor reviews the request to determine job or career relatedness and forwards the form to the Director of Human Resources Management who completes Section III of the form that determines eligibility and forwards it to the Vice President for Fiscal Affairs. The Vice President for Fiscal Affairs reviews eligibility, job

relatedness, etc., completes Section IV of the form and returns the original of an approved form to the employee and retains a copy. If disapproved, the form is returned to the requesting employee indicating that the request was not approved.

806.1707 Remission & Reimbursement

B. Attendance at Home Institution (Tuition Remission)

Tuition and fees shall be waived. The following item must be submitted when requesting remission:

1. A completed Employee's Tuition Form (Form TR-01) (approved prior to enrollment).

1. If an employee has participated in the Tuition Remission program anytime in the preceding year, the

employee must present evidence of successful completion of the course work (grade report or certification of

completion).

B. Attendance at another USG Institution (Reimbursement)

Tuition and fees shall be reimbursed only upon successful completion of the course if the employee is still employed at Albany State University. The employee must earn a grade of "C" or better. Any financial aid, including grants and scholarships received by the employee for tuition and fees shall be taken into account when determining the amount to be reimbursed. The following three items must be submitted when requesting reimbursement:

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1. A completed Request for Authorization to Reimburse Employee's Fee/Tuition Form (Form TR-01)

(approved prior to enrollment).

1. Evidence of having paid reimbursable fees (a fee receipt) during employee registration.

1. Evidence of successful completion of the Course work or training (grade report or certification of

completion).

1. Evidence of registration during employee registration period.

A. Attendance at Private Institution (REIMBURSEMENT)

Only allowed if the equivalent course is not available at a USG institution within 70 miles of the employee's home institution. The following items must be submitted when requesting reimbursement:

A. A completed Request for Authorization to Reimburse Employee's Fee/Tuition Form (approved prior to enrollment).

A. Evidence of having paid reimbursable fees (a fee receipt).

A. Evidence of successful completion of the course work or training (grade report or certification of completion).

806.1708 Withdrawal from Course

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A. TUITION REMISSION - If an employee fails to make a "C in a course or withdraws from a course, he or

she cannot participate in the tuition remission program for six months. Prior to re-enrollment in the program,

pursuant to the tuition remission program, the employee must submit an official transcript or report card showing

that their Grade Point Average (GPA) is "C" or better.

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A. REIMBURSEMENT - If an employee fails to make a grade of "C" in a course or withdraws from a course,

he or she cannot submit a request for reimbursement. In addition, the employee cannot participate in the tuition

program for six months and the employee must submit an official transcript or report card showing that their GPA is

"C" or better.

806.1709 Educational Aid as Taxable Income

The taxability of reimbursements is subject to the existing provisions of the Internal Revenue Code.

Employees should be advised to obtain advice from tax counsel as to the reporting and deductibility

of educational expense reimbursements. Generally, educational expenses qualifying as job-related

are not reportable by the University as income to the employee.

IT IS THE EMPLOYEE'S RESPONSIBILITY AS AN INDIVIDUAL TAXPAYER TO REVIEW THE CURRENT TAX CODES AS THEY RELATE TO THEIR PARTICULAR SITUATION.

807 WORKING CONDITIONS

Albany State University places high priority on establishing and maintaining the best possible

working conditions for its employees. The University makes every possible effort to provide a work

atmosphere that is conducive to individual job satisfaction, individual development, and job

enrichment. In general, the policy of the University is that every employee practice common

courtesy and understanding as well as respect for the other person. As Albany State University

administration pledges to be aware of and understand the position and needs of the employee, it is

expected that the employee understand and appreciate his or her role in the overall mission and goals of Albany State University. Policies related to working conditions have been established to help produce a favorable work environment and atmosphere and to enhance employee-employer relations.

807.01 APPEARANCE

Employees are expected to use good taste in their clothing and to remember that Guests and Visitors are constantly on campus. The University would like to leave a favorable impression with such individuals, and the employee's appearance can certainly help achieve this goal.

807.0101 Uniforms

Uniforms are provided to Plant Operations and Public Safety personnel who must wear them as a

condition of employment. Employees who are provided uniforms but do not report for duty properly

attired, may be sent home to change. Repeated failure to report in uniform may be considered just

cause for disciplinary action. Employees are expected to take care of issued clothing and may be held accountable for damages not considered work related or normal wear and tear. Upon termination of employment, an employee must return all uniforms.

807.0102 Non-Uniform Attire

“Appropriateness” and “good taste” should govern employee attire, with proper consideration given

to the nature of work performed, other persons with whom the employee comes in contact and general guidance of Supervisors.

807.02 CONFIDENTIAL INFORMATION

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University employees having access to confidential material should not discuss such information with fellow employees or other individuals. Evidence of disclosure shall be considered grounds for termination.

807.03 OUTSIDE EMPLOYMENT

Employees may have jobs other than with the University, provided the jobs do not interfere with their

regular and punctual discharge of University duties. It is recommended that employees discuss

such employment with their Supervisors or Department Heads prior to undertaking outside

employment to be sure there is no conflict of interest. Use of any State property in such endeavors

is prohibited.

807.04 LOANS TO EMPLOYEES

It is not the policy of the University to act as a lending or collection agency; thus, it does not make loans to employees. Employees are expected to conduct their financial activity within the scope of their compensation.

807.05 POLITICAL ACTIVITIES

807.0501 Employees

As responsible and interested citizens in a Democratic society, employees of the University are

encouraged to fulfill their civic obligations and otherwise engage in the normal political processes of

society. Nevertheless, it is inappropriate for University personnel to manage or enter political

campaigns while performing services for the University or to hold elective political office at the State

or Federal level while employed by the University. Therefore, the following policies governing political activities are adopted:

A. An employee may not manage or take an active part in a political campaign which interferes with the performance of duties or services for which he or she receives compensation from the University.

B. An employee may not hold elective political office at the State or Federal level.

C. An employee 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, the employee person must resign prior to assuming office. D. An employee 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 University.

807.0502 Use of Property in Political Campaigns

The President of the University may authorize the use of University facilities for campaign speeches. However, such use shall be limited to meetings sponsored by recognized organizations of the University and shall be held only at places designated by the President. The use of University materials, supplies, equipment, machinery or vehicles in political campaigns is forbidden.

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807.06 SERVICE AWARDS

Appropriate awards denoting various lengths of service may be presented by the University, provided that State funds are not used to purchase such awards.

807.07 EMPLOYEE CONTINUING EDUCATION

The University encourages employees to enroll in various academic programs offered, whether they are credit or non credit offerings; however, such enrollment should not conflict with normal working hours. Occasionally employees pursuing a degree may find it necessary to take a class during normal working hours. If this situation arises, the employee must have an alteration in work schedule approved by the Immediate Supervisor. Additionally, the Office of Human Resources Management should be advised of the variation so that payroll adjustments can be made, if appropriate.

807.08 EMPLOYEE SUGGESTIONS

Employees are urged to submit bonafide suggestions concerning office procedures, working conditions, or University policies to their Immediate Supervisors. If the suggestions deserve merit,

they should be routed to the Office of Human Resources Management for possible implementation.

Such suggestions become an integral part of the employee's personnel file, and may be used for

reference in making promotions, salary increases, and other relevant decisions.

807.09 DISRUPTIVE BEHAVIOR

The University is deeply concerned with those Students, Faculty members, Administrators and Staff

who, acting individually or in concert with others, disrupt or obstruct or attempt to disrupt or obstruct

any teaching, research, administrative, disciplinary or public service activity or any other authorized

activity to be held or discharged on the Albany State University campus. Those employees having attempted or conducted these disruptive activities shall have committed an act of gross irresponsibility and shall be subject to disciplinary procedures possibly resulting in dismissal or termination of employment.

807.10 INTERNAL INVESTIGATIONS

Internal investigations may be of a routine nature, such as cash audits and inventory confirmations,

or may be initiated by the Department of Public Safety in response to a specific problem such as theft of materials or cash shortages. Employees in the area are expected to assist in the investigations, and failure to do so shall be considered an act of insubordination. Failure to cooperate fully shall be grounds for adverse personnel action, including possible termination of employment.

807.11 SAFETY

Employees should make every effort to develop and practice safe working habits for themselves and

to create a safe work environment for those around them. Too often safety is thought of only in

terms of the Plant Operations area; this attitude alone can prove dangerous. Every year numerous

accidents occurring in office areas caused by lower file cabinet drawers left open, electrical cords

strung across walkways to be tripped over, and other careless acts are reported to the National

Safety Council from across the country. Understandably, the probability of accidents occurring is

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greater among Plant Operations workers, but everyone should make a conscious effort to minimize

campus accidents.

Employees should use all required safety equipment when performing their duties, observe area work rules and, upon detection, report all hazardous conditions to their Supervisors.

808 EMPLOYEE/EMPLOYER RELATIONS

The working environment is extremely important to each employee and should be a very positive

factor. To this end, the University makes every effort to enhance working conditions and expects

employees to accept a similar responsibility. Occasionally, it becomes necessary for the University to correct employee work habits or for the employee to call attention to inequities or other

work-related problems he or she encounters. While these actions are normally attempted and accomplished in an informal, personal setting, it sometimes becomes necessary to pursue more formal avenues of corrective action and/or recourse.

This section deals with such procedures. The employee or employer should not take such actions lightly or initiate them indiscriminately, if the University is to foster positive employee/employer relationships.

808.01 REPRIMAND

In most situations, a Supervisor can correct, through simple statements, an employee's actions or

even overlook them if they are not serious. However, should the employee's actions become

chronic, or if the infraction of University policy leads to serious problems, a formal written reprimand

may be in order.

The Supervisor must strongly document formal reprimands stating the date(s) of the infraction, the

policy violated and any other pertinent data. In addition, he or she should suggest future disciplinary action if further infractions are committed. Repeated reprimands might possibly lead to

suspension or termination.

Employees receiving reprimands have the right to explanation of charges, and Supervisors are therefore encouraged to use the reprimand as a constructive document. Employees who believe that the reprimand is not justifiable have the right to appeal as set forth in grievance procedures.

808.02 SUSPENSION

When appropriate, a Supervisor may suspend an employee with or without pay pending pretermination

review by the next immediate Administrative Supervisor. Should this Administrative Supervisor determine such suspension in order, the employee will be advised, in writing, of the

suspension and the reasons for the suspension, and given the right to appeal the action as set forth

in grievance procedures.

An employee charged with or under indictment for a felony or a crime involving moral turpitude shall

be suspended without pay unless, in the opinion of University authorities, there are extenuating circumstances which dictate more lenient action. Employees charged with or indicted for other offenses may be suspended with or without pay pending final disposition of the charges or indictment.

808.0201 Benefits While Suspended

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An employee on suspension may have his or her group life and health insurance continued on payment of normal premiums.

808.0202 Use of Annual Or Sick Leave During Suspension

When suspended without pay, an employee may not elect to charge absence against accumulated

annual leave.

Employees suspended with pay, pending disposition of charges or indictments other than felony or

moral turpitude, may have such suspension charged against annual leave. Normally, an employee who is suspended by the University for violation of work rules will be suspended without pay, and no leave charges will be allowed.

808.0203 Reinstatement

An employee who has been advised of his or her reinstatement date and who does not report for the normal work shift shall be considered terminated, unless normal reporting procedures for sick leave and other concerns have been followed.

808.0204 Back Pay

An employee suspended without pay shall not be entitled to back pay award unless so directed by

the President of the University or the Board of Regents. Back pay awards shall be limited to those cases where the University has acted incorrectly in its decision to suspend.

808.03 EMPLOYEE GRIEVANCES

Employee grievances are to be expected in any work environment, with numerous reasons for their origin. Albany State University is no exception, and although not every grievance may initially be considered a serious matter, the University wants to maintain a positive position in the quick resolution of problems which occur.

The following brief paragraphs provide general statements on the grievance procedure at Albany State University and are supplemented by more detailed information in other sections of this Manual.

808.0301 Grievances Not Covered

Not all employee complaints or grievances are acceptable or subject to corrective actions. The following examples, while not covering exceptions in their entirety, provide general guidelines on what grievances are excluded:

- A. Any matter which is subject to final administrative review outside Albany State University under law or the policies of the Board of Regents of the University System of Georgia;
- B. The content of published policy. Should published policy be in direct conflict with law or regulation, the employee should advise the Office of Human Resources Management which in turn will advise the President of the University and the appropriate staff member of the Regents Central Office;

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- C. Non selection for promotion or grievance related to salary increases unless there is specific evidence to show that said grievance relates to discrimination based on race, color, sex, religion, national origin, handicap or age. The President's decision on all such matters, with this exception, shall be final at the University level with the Board of Regents representing the final review;

- D. A preliminary warning or notice of an action, which, if effected, would be covered by the grievance mechanism; and
- E. Grievances by a temporary, probationary, or non State-funded employee relating to his or her separation.

808.0302 Initiation of a Grievance

An employee or group of employees with a grievance which does not fall in the above categories may seek remedy. Two basic processes are followed in expressing a grievance: the informal grievance process and the formal grievance process.

808.030201 The Informal Grievance

This is the initial step in expressing a grievance and requires that an employee work within his or her departmental organization in seeking redress. Informal grievances may be oral or written and should be directed to the first line Supervisor. The employee should clearly identify the policy infraction involved, the date of the incident, and the preferred solution. If the grievance relates to the

first line Supervisor, the employee may use the next organizational level. Normally grievances are

solved at this level; however, the employee may elect to pursue the formal procedure if no action is

taken, if it is not taken within a prescribed time frame, if the incident or source of the problem recurs

or if the Supervisory solution proffered does not adequately address the problem.

808.030202 The Formal Grievance

Having exhausted the informal process, the employee may file a written grievance to the Affirmative

Action Officer if the employee believes that the Supervisor's actions are inappropriate or untimely, do not address the problem, or do not provide adequate redress. An employee must present a formal grievance in writing, expressing policy infraction, date of the incident, preferred action, and efforts taken through the informal procedure to correct the problem.

Should the grievance be acceptable, a Board of Review will be selected and a formal hearing date

established. The Board will conduct an administrative review, not requiring strict rules of evidence,

and make recommendation(s) for resolution of the problem. The President and his or her Vice Presidents, with assistance from the Director of Human Resources Management, will review the recommendations. The President will then advise the employee of the final decision.

In cases where the Director of Human Resources Management determines that the action alleged

to have wronged the Grievant is covered by laws, regulations, policies, etc. pertaining to discrimination of any kind (including sexual harassment), he or she will refer the grievance to the University's Affirmative Action Officer for further action.

808.0303 Appeals

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An employee shall be afforded due process in resolving grievances and shall have the right of appeal

at each supervisory level. Although the decision of the President is final at the University level, the

employee can initiate further recourse or review by requesting review at the University System level

within twenty (20) days from receipt of the President's decision.

808.0304 Retaliatory Action

An employee exercising his or her right to follow the established grievance procedures shall not be subjected to retaliatory action, harassment, or intimidation or be otherwise penalized for exercising

the right to express grievances. Supervisors and other employees found using such tactics will be

subject to disciplinary action to include reprimand, possible suspension, or dismissal, depending on

the circumstances.

On first occurrence, the employee should report such actions to the Office of Human Resources

Management which will advise the President and appropriate Vice President of the retaliatory acts.

They, in turn, will determine what disciplinary action shall be taken.

808.0305 Grievance Procedures for Faculty and Classified Employees

808.030501 Name

The Grievance Committee at Albany State University shall be known as the Board of Review.

808.030502 Purpose

The Board of Review is established to provide a means to hear the complaints of University employees (Faculty members and Classified Personnel) who have exhausted normal channels of appeal but who have not received satisfaction in the resolution of a grievance. Normal channels shall be construed to mean an appeal to administrative officers, through and including at least one level of authority higher than the Grievant's Immediate Supervisor, to resolve the grievance satisfactorily.

808.030503 Jurisdiction

A. Grievance Complaints

The Board of Review may consider the grievance of any Faculty member or classified employee. The grievance must be reasonably related to the terms and conditions of his or her employment, be supported by affidavit of the Grievant or other credible evidence, and be timely filed in accordance with the procedures set forth in Section 808.030504.

B. Grievance Referral

Notwithstanding the exclusions set forth in Section 808.030503, the Board of Review shall consider any referred grievance for hearing by the President of the University or the Board of Regents of the University System of Georgia.

C. Exclusions

The Board of Review may not consider grievances which concern salary, promotion or dismissal of any employee or which involve the award of tenure or non renewal of Faculty member unless

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it is reasonably alleged that the action complained of was the result of discrimination based on race, color, sex, religion, creed, national origin, handicap or age. Nor shall the Board of Review consider any grievance concerning which the President has already made a final decision.

D. Appeal of Academic Decisions

Pursuant to the provisions of Article IX of the Bylaws of the Board of Regents, grievances based on judgment of academic qualifications which impact such items as salary, promotion, tenure or non renewal may be appealed at the University through established channels to the President of the University and, thereafter, to the Board of Regents of the University System of Georgia.

- E. Dismissal of Faculty
Grievances related to the dismissal of tenured Faculty or Non tenured Faculty during a contract term are governed by Article VI, Sec. B-6-d of the Bylaws of the Board of Regents.
- F. Appeals by Classified Employees
Grievances of Classified Employees concerning salary, promotion, or dismissal are governed by the Personnel Policies of the Business Procedures Manual of the Board of Regents.

808.030504 Initiation of Grievance

- A. Request for Hearing
Any Grievant, within thirty (30) working days after the occurrence of the alleged act causing the grievance, may file a written request for a hearing with the Chairperson of the Board of Review. He or she must describe the grievance and state the following:
 1. The actions complained of, including the pertinent facts of the complaint, the date, time and place of the occurrence, the University policies believed to have been violated or improperly applied, with the complaint verified and sworn to by the Grievant;
 2. The names of possible witnesses, if any, and a description of the evidence which may tend to support the complaint; and
 3. The specified corrective action desired.

- B. Determination of Jurisdiction
The Chairperson of the Board of Review, within three (3) days from the filing of the application for hearing by the Grievant, shall determine whether the grievance is one which has been properly and timely filed, and whether the nature of the grievance is one which may be properly heard by a Board of Review. If so, the Chairperson will instruct the parties as to the procedures in selecting the panel and members of the Board of Review. If not, the Chairperson will notify the parties and the President of his or her determination and give the reason(s). The President may, nevertheless, direct that the grievance be heard by a duly constituted Board of Review. The Chairperson will within ten (10) days following receipt of a grievance cause the panel and Review Board members to be selected as provided in Section 808.030505 below.

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808.030505 Board of Review

- A. Selection of Chairperson
For each Board of Review, there shall be a Chairperson who, along with one or more Alternate Chairpersons, shall be elected annually by the Faculty of the University from among the tenured Faculty of the University for a one (1)

year term, to begin no later than November 30 of each academic year, provided, however, that not more than one person shall be elected from the Faculty of any one Department/Unit of the University. University System counsel or the Affirmative Action Officer of the University or University System will thoroughly brief the Chairperson and alternate Chairperson(s) on the conduct of the grievance mechanism. The Chairman and Alternate Chairperson(s) shall rotate the duties of the Chair.

B. Selection of Review Panel

Within thirty (30) days after the alleged act prompting the grievance, an employee must file a written grievance with the Chairperson. If the grievance is determined by the Chairperson to be within the jurisdiction of the Board, he or she shall draw by lot, or other random process, from a list of eligible Faculty members or Classified Employees, as appropriate to each case, a panel of nine (9) persons as potential members of the Board. When grievances involve only Faculty, the Chairperson shall draw the panel from Faculty having at least one (1) academic year (nine months) of continual service at the University. For grievances between Faculty and Classified Personnel the Chairperson shall draw four (4) members of the panel from eligible Faculty and five (5) members from eligible Classified Employees, all of whom shall have at least nine months of continual service at the University. For grievances involving Classified Employees only, the Chairperson shall draw the panel from the names of Classified Employees having at least nine months of continual service at the University. In the presence of the Director, Office of Human Resources Management or the Affirmative Action Officer of the University who shall certify to the President that the panel drawing process has been impartially executed, the Chairperson shall draw a new panel for each grievance. (Faculty Members and Classified Personnel are defined in Sections 801 and 802 of the Fiscal Affairs Policies and Procedures Manual, Albany State University.)

C. Eligibility for Service

With the exception of the President, all full-time employees (Faculty and Classified) having at least one (1) academic year (nine months) of continual service at the University are potential members of the Board of Review. An employee's name shall be removed from the pool if: (1) employment ends; (2) an employee is a Grievant; or (3) an employee is named or otherwise directly involved in the grievance.

D. Excuse of Panel Members

Panel members who are drawn as possible Board of Review members may be excused by the Chairperson if he or she determines that: (1) there is a bona fide conflict of interest between the panel member(s) and either of the parties of the grievance; (2) the potential panel member is ill; or (3) service on the Board of Review should be excused for good cause shown.

E. Selection of Review Board

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Each Review Board shall consist of the Chairperson (non-voting) and three (3) voting members chosen from a panel of nine (9), constituted as set forth in Section 808.030505 B. above. Upon notification of the names of the panel members, each party shall in the presence of the Chairperson strike the names of three (3) persons from the panel. The parties shall alternate in exercising their strikes, beginning with the Grievant, until three (3) members remain. These three (3) members shall constitute the Board of Review. It is anticipated that this “striking” process will be completed within five (5) days following the selection of the panel by the Chairperson.

F. Removal of Review Board Members for Cause

A party may present a request in writing, at least three (3) days in advance of any hearing, to the Chairperson, to remove any member of the Board for reasonable cause. If the Chairperson grants the request, he or she shall fill the vacancy thus created by random selection of another member, according to the process described in Section 808.030505, B. above. The member chosen to fill the vacancy may likewise be removed for reasonable cause. The Chairperson may on his or her own motion remove any member for reasonable cause.

G. Notice of Hearing

After the Board of Review has been selected, the Chairperson, no less than three (3) nor more than ten (10) working days in advance of the date set for the hearing, must hand deliver or mail to the parties and members of the Board of Review written notice of date and time set for the hearing.

808.030506 Duties of Chairperson

The Chairperson of each Board of Review shall not vote but shall be responsible for the conduct of the hearing and the interpretation and implementation of grievance procedures. His or her duties shall include, but not be limited to, the following:

- A. Assuring that all parties are familiar with grievance procedures;
- B. Receiving the grievance and determining whether it is one which is properly heard by a Board of

Review (if it is not, notify the grievant in writing) and whether it has been timely filed as provided in Section 808.030504 A. above;

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A. Drawing, at random, within five (5) working days following receipt of a written grievance, a panel of nine

(9) persons as potential members of the Board of Review (See Section 808.030505 B. above.);

B. Notifying the parties: (1) whether the grievance is one which is properly heard by a duly constituted

Board of Review, and (2) if so that a hearing panel of nine (9) members has been drawn and (3) that each party

should come before him on a certain date and strike the names of three (3) panelists;

C. Distributing the complaint (grievance) to the opposite party and members of the Board of Review and

setting a date for the hearing after conferring with the Board members;

D. 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;

E. Ensuring that a tape recording or transcript of the hearing be made and retained for use in the event an

appeal is filed; and

F. Forwarding a copy of the written Findings of the Board of Review to the President and the Grievant 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 808.030508, below.

808.030507 Hearing Procedure

In all instances where a hearing is conducted, the following procedures shall apply:

A. The Board of Review will conduct the hearings in private; however, the parties may 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, from the University to assist him or her at the hearing;

C. The Board of Review will keep a tape recording, transcript or written summary of the proceedings and

make it available to the parties concerned, at reasonable cost;

D. The Board of Review shall afford the parties a reasonable opportunity to obtain and present witnesses

and relevant documents or other evidence concerning the subject matter of the complaint;

E. The Board of Review shall afford the parties the right to cross-examine witnesses against them. Should

a witness be unable to appear because of illness or other cause acceptable to the Chairperson, the sworn statement

(affidavit) of the witness may be introduced into the record;

F. A notary public shall administer an oath or affirmation to all witnesses;

G. The Board of Review will not be bound by strict rules of legal evidence. It may receive any evidence

deemed by the Chairperson to be of probative value in determining the issues involved. The Board will make every

possible effort to obtain the most reliable evidence available. The Chairperson shall decide all questions as to the

admissibility of evidence or other procedural matters;

H. The Board of Review shall make no decision on the merits of the grievance but shall state its Findings

which shall be based on the evidence introduced at the hearing. The Chairperson will report the Findings to the

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Grievant and President. The Board of Review may also submit Confidential Recommendation(s) to the President as

provided in Section 808.030508, below; and

A. To safeguard the confidentiality of the hearing, the Board and all parties concerned must avoid public

statements and publicity about the complaint.

808.030508 Findings and Recommendations by the Board

The Chairperson must send the Findings of the majority of the Board of Review to the President and

the Grievant no later than ten (10) working days following the hearing. If a transcript of the hearing is

required, the Chairperson must send Findings 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. The Findings, and 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 him or her to any suggested course of action.

808.030509 Action by the President

In making a decision, the President will 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, and Confidential Recommendation(s)

(if any) of the Board of Review, advise in writing the Faculty member or Classified Employee, his or

her direct Supervisor, and other parties concerned of the decision. The President may refer the

matter back to the Chairperson of the Board of Review for further response and recommendation(s)

before rendering a final decision. The President must advise the employee in writing of his or her

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.

808.030510 Time Requirements of the Review Process

The Review process operates on the premise that grievance panels (nine [9] members) should be

constituted (drawn by lot) within five (5) working days following receipt by the Chairperson of an

acceptable written grievance from any employee of the University. The final selection of a three (3)

member Board of Review from the panel should be completed within ten (10) working days after the

filing of the alleged grievance. The Chairperson should give written notice of any hearing date to the

members of the Board of Review and to the parties at least three (3) but no more than ten (10)

working days prior to the date set for the hearing. The Chairperson must forward Findings to the

Grievant and the President within ten (10) working days from the conclusion of the hearing unless a

transcript of the evidence is required. If a transcript of the evidence is required, the Chairperson must forward such documents to the President within ten (10) working days after receipt of the transcript. The Chairperson must also send any Confidential Recommendation(s) to the President within ten (10) working days. The President must make the final decision within ten (10) working days thereafter unless he or she refers the matter back to the Board for further response and recommendation(s). After a final decision by the President, the employee must file any appeal to the Board of Regents within twenty (20) days.

808.030511 Retaliatory Action

The Grievant shall not be harassed, intimidated, or otherwise penalized for using the grievance procedures.

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809 OPERATIONS PROCEDURES

This section provides additional details to supplement basic policies relating to Human Resources Management. Since in many cases there is no “fine-line” delineation between policies and procedures, certain policy items may be re-stated or stated for the first time.

809.01 EMPLOYMENT PROCEDURES FOR CLASSIFIED PERSONNEL

809.0101 Purpose

The purpose of these procedures is to ensure uniformity in the hiring of Classified Personnel.

809.0102 Scope

These procedures pertain to hiring all non-Faculty (Classified) Personnel, whether full-time or parttime.

809.0103 Process

809.010301 The Department/Unit Head or Chair, in consultation with the appropriate Vice President, determines the

following:

A position description outlining duties and responsibilities of the person to fill the position;

Qualification required and/or preferred:

- (a) education,
- (b) background and experience; and Conditions of employment/salary:
 - (a) full/part-time status,
 - (b) regular/temporary,
 - (c) salary range; and

(d) desired starting date.

809.010302 The Department/Unit must submit a completed Personnel Request Form (Exhibit No. 809.010302-1)

through applicable channels to the Office of the President, along with a draft Position Announcement (Exhibit No. 809.010302-2) and Job Specification (Position Description) (Exhibit No.809.010302-03). The Office of Human Resources Management will assist the Department/Unit as needed.

809.010303 Upon approval by the President or his or her designee, the Budget Office will verify fund availability and

source of funding, and the Office of Human Resources Management will review the official Position

Announcement to ensure that all required and appropriate information is included.

809.010304 The Office of Human Resources Management establishes appropriate advertisement dates allowing for a

minimum of two (2) weeks' advertisement. The Office sends announcements to appropriate

agencies, institutions, and other personnel referral offices. Advertisements are placed in the Albany

Herald at least once before the application deadline. The Office advertises certain administrative positions in appropriate professional journals and the Chronicle of Higher Education.

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809.010305 An application package will normally consist of a current application, a resume, an official transcript of

vocational or college work and three letters of work-related references and should be on file in the Office of Human Resources Management prior to the application deadline.

809.010306 Clerical/Secretarial applicants are tested for clerical skills as soon as possible after the application

deadline. (Acceptable clerical support applicants are those who make a score of 70 or better on the

clerical skills test.)

809.010307 The Office of Human Resources Management will receive applications for a vacancy, through the

advertised application deadline date. None of the applicants will be interviewed at this time. For each position advertised, the Office of Human Resources Management will

maintain a Log of Applicants (Exhibit No. 809.010307-1) which will show each applicant's race, sex, age, veteran status and physical handicap, if any. This log will remain in the application folder.

809.010308 Exhibit No. 809.010308-1, Acknowledgment of Receipt of Credentials, shows a sample letter given to

applicants who apply when there are no vacancies available for which the applicant is qualified.

809.010309 Exhibit No. 809.010309-1, Acknowledgment of Advertised Position, shows a sample letter given to

applicants who apply for an advertised position.

809.010310 Exhibit No. 809.010310-1 shows a sample of a log which applicants sign to indicate that they received

Exhibit No. 809.010309-1.

809.010311 Exhibit No. 809.010311-1 shows a sample of a Staff Application for Employment with accompanying

instructions.

809.010312 At this point in the recruitment process, the Director of Human Resources Management reviews all

candidates for the vacancy. When there are 3-5 qualified candidates, the Director notifies the hiring

Supervisor. The Supervisor will select the candidates for the interview process.

809.010313 For Public Safety Officers and Child Care Center Workers, a criminal history record check as well as an

extensive background check is conducted. In addition, all applicants selected for an interview for any position are subject to background check.

809.010314 The Office of Human Resources Management schedules all interviews. The hiring Supervisor for the

position to be filled will primarily conduct an interview. In some cases, an interview panel may conduct interviews.

809.010315 Each interviewer completes an Interviewer's Rating Sheet on each interviewee (Exhibit No. 809.010315-

1).

809.010316 Before making an employment offer, the Office of Human Resources Management will check

employment reference by telephone or mail inquiry (Exhibit No. 809.010316-1 is a sample of a

Written Request for Reference and Exhibit No. 809.010316-2 is a Guide for Telephone Request for

Reference). The responses are documented for inclusion in the application file. If a reference check

shows that an applicant would be an undesirable employee, the Director of Human Resources Management shall notify the hiring Supervisor.

809.010317 The hiring Supervisor will make his or her selection of the best applicant and will rate the applicants in

the order of his or her choice (1, 2, etc.), number one being his or her best candidate. The

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Supervisor will document the interviewer's rating form as to why one applicant was selected over the

others.

809.010318 The hiring Supervisor will then make a recommendation, with supportive documentation for his or her

review, to the next level of management to hire the selected applicant. An administrator in the chain

of command has the right to request the applicant packages of all those interviewed and/or all

applications to make an assessment, as well as request additional interviews, prior to making his or

her recommendation. The recommendation for employment must be approved by all levels of administration.

809.010319 Based upon the approvals by the appropriate administrators (Vice Presidents/President) (Exhibit

809.010319-1 is an example of Administrative Approval), the Office of Human Resources Management will make the official offer of employment (Exhibit No. 809.010319-2) to the selected job applicant.

809.010320 If the selected applicant refuses the offer, the Office of Human resource Management will then make an

offer to the applicant rated number two. If the Supervisor has designated that only applicant number

one is acceptable or that none are acceptable, it may be necessary to re-advertise. The hiring Supervisor must document and explain the necessity of re-advertising. If the Director of Human Resources Management agrees that re-advertising is required, the hiring process will begin again according to Section 809.01, above.

809.010321 A letter of notification (Exhibit No. 809.010321-1) must be mailed to all unsuccessful applicants.

809.010322 Records Management policies and procedures direct that all applications from the non selected

applicants be held in the current files for one year, then destroyed. All application packages must

be returned by the hiring Supervisor to the Director of Human Resources Management at which time

all documents (applications, recommendations, evaluations, etc.) are collected for retention.

809.02 PERFORMANCE REVIEWS

809.0201 Appropriate Supervisors are required to conduct performance reviews for each

Classified Employee for the periods March 1 through February 28 of each twelve months of employment.

809.0202 Within ten (10) days after the end of each review period, the Office of Human

Resources Management will forward to each Department/Unit Head or appropriate Supervisor the

required forms to use in conducting the Performance Reviews. Exhibit No. 809.0202-1 is a sample

of the form used for Plant Operations employees. Exhibit No. 809.0202-2 is a sample of the form used for office support staff. Exhibit No. 809.0202-3 is a sample form used for administrative/supervisory staff.

809.0203 Immediate Supervisors (with other levels of management as appropriate) will complete

the review forms, discuss the review with the employee being reviewed, furnish a copy of the review

to the employee, obtain the employee's signature on the written review and return the completed review form(s) to the Office of Human Resources Management so as to arrive in that office within sixty (60) days after the end of the review period (June 30 and December 31).

809.0204 The Performance Reviews will become a part of the employee's permanent personnel file in the Office of Human Resources Management.

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809.03 (NOT USED)

809.04 INJURIES ON THE JOB

Any employee injured while performing his or her duties for Albany State University must immediately report the injury to his or her Immediate Supervisor. Within two (2) days of the injury the appropriate Supervisor must complete an Employer's First Report of Injury and forward to the Office of Human Resources Management.

809.0401 The Office of Human Resources Management will post a Workers' Compensation

Notice in and about each work area. This notice will include a listing of the "Panel of Physicians" to

whom an employee must be taken should the injury require the use of a physician. Other instructions will be included in this notice.

809.0402 In case of an emergency type injury, the injured employee should be taken to the nearest hospital emergency room. The employee must obtain follow-up care from a doctor on the "Panel of Physicians" list. Failure to obtain treatment for job-related injuries from this "Panel of Physicians" may jeopardize payment of medical bills under Workers' Compensation, and the employee may be personally liable for the injuries.

809.0403 The Supervisor should always take an active role when employees advise they have been injured on the job. The Supervisor is the most effective person in the initial handling of the Workers' Compensation claim as he or she normally is the only person the injured employee communicates with. The Supervisor should do the following:

809.040301 Take time to handle the injury properly - listen to the employee;

809.040302 Instruct the employee to obtain medical care from a doctor listed on the "Panel of Physicians" posted in the work area;

809.040303 If the employee needs emergency care, get him or her to the nearest emergency room for immediate treatment, and notify the Office of Human Resources Management immediately so that proper verification can be given when the emergency room or the attending physician calls for Workers' Compensation verification;

809.040304 Complete the First Report of Injury (Form WC 1) and immediately or no later than two days after the accident, forward it to the Office of Human Resources Management;

809.040305 Investigate the accident and make notes of any pertinent information:

How did it happen?

Who saw it happen?

How could it have been avoided?

809.040306 Check on the injured employee periodically during the recovery period to check employee's progress and to let him or her know that he or she is missed by peers;

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809.040307 If after the first seven days of lost time, the employee goes on leave without pay status, notify the Office of Human Resources Management immediately so that the DOAS Workers' Compensation Office can be notified; and 809.040308 Upon the employee's return to work, notify the Office of Human Resources Management immediately.

809.05 TERMINATION OF EMPLOYMENT

Employees may leave the University's employ for numerous reasons, and in some cases may be terminated as the result of disciplinary action.

Regardless of the nature of the termination, certain procedures must be followed to have the final check released.

809.0501 Resignation

A University employee who intends to terminate his or her employment with the University should

notify his or her Supervisor at least two weeks in advance. This allows sufficient time for the Office

of Human Resources Management to conduct the necessary process to obtain a suitable replacement. Compliance with this two-week notice will be a favorable factor in appropriate University officials' decision to recommend the departing employee for future employment.

809.0502 Retirement

An employee who plans to retire voluntarily or who will reach mandatory retirement age during the

fiscal year should report to the Office of Human Resources Management in April or May, or no less

than 60 days prior to the anticipated date of retirement to ensure his or her retirement account is in

order. This advance notice of retirement will allow sufficient time to process necessary forms,

ensure that all fringe benefits are maximized to the benefit of the retiring employee, purchase prior

service credits if applicable, and consider other related matters.

809.0503 Layoff

As a general rule, layoffs at the University are rare and temporary. However, in the event a layoff becomes necessary, a concentrated effort will be made to relocate the employee in some comparable position. Should relocation be impossible, the Office of Human Resources Management will give those

employees in a “layoff status” preferential treatment when a comparable position for which they qualify becomes available. In cases where more than one employee is eligible for re-employment, the individual with seniority will be hired. Employees who do not accept relocation will not be given preferential treatment should they later reapply for employment.

809.050301 Reduction in Work Hours

In an effort to avoid layoffs, reduction in work hours may represent a reasonable alternative. When such action is required, employees will be so advised and given ample opportunity to discuss reasonable alternative work schedules with their Supervisors. In the event such action is required, seniority will be a prime consideration in determining who will be affected.

809.0504 Dismissal

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The Immediate Supervisor can effect immediate dismissal of a Classified Employee if an employee's

performance of duty or personal conduct is not satisfactory. Normally dismissal follows previous

reprimands for related offenses; however, multiple reprimands for numerous deficiencies may also

be considered adequate cause for dismissal.

In accordance with policies found in Section 804.10 of this Manual, immediate dismissal shall be limited to serious offenses or breach of University policies and/or procedures, i.e., destruction of University property, theft, or drug use.

An employee charged with or under indictment for a felony or a crime involving moral turpitude shall

be terminated or be suspended without pay unless, in the opinion of University authorities, there are

extenuating circumstances which dictate more lenient action. Employees charged with or indicted for other offenses may be suspended by University authorities, with or without pay, pending final disposition of the charges or indictment. Suspension with pay may be charged against accrued leave.

809.050401 Notice of Dismissal

When dismissal becomes necessary, an employee shall be advised of all charges, granted the opportunity to appeal through informal channels, and advised of appeal rights through the formal grievance procedures, as deemed appropriate by the employee.

809.050402 Separation Pay or Notice

Whenever practicable, an employee will be given a two weeks working notice of termination;
however, should the employee's presence be considered a disruptive force in the work area, two weeks pay may not be given. No pay or notice is necessary in those cases where an employee has violated work regulations following multiple reprimands or when the infraction involves a willful violation of University policy whether previous reprimands have or have not been issued. Generally, notice shall be given in cases most closely related to a general inability of the employee to perform described duties as opposed to the case where an employee possesses requisite skills but elects to ignore his or her responsibilities or refuses to follow reasonable work orders.

809.050403 Reinstatement

Dismissed employees who are subsequently reinstated may have work loss considered a suspension without pay, or on order by the President or Board of Regents may have back pay restored.

809.0505 Clearance

During the course of employment an employee may assume responsibility for University property

which should be returned prior to receiving the final check. Among such items might be: University

keys, equipment, Library books, and the employee identification card. These should be returned to

the correct Department/Unit or to the Immediate Supervisor. Other items that must be cleared include Credit Union obligations, Bookstore charges, and removal of the parking decal.

The Office of Human Resources Management will provide to terminating employees the Employee's

Financial and Property Clearance Form with an accompanying letter of instructions (Exhibit

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809.0505-1). It is the responsibility of the employee to ensure completion of this clearance process.

809.0506 Exit Interviews

Employees terminating employment with the University should report to the Office of Human

Resources Management for an exit interview. The main purpose of such interviews will be to

determine the causes for employee turnover; to help the terminating employee determine the status

of his or her group insurance, social security, and retirement benefits; and to ensure that all other out processing actions have been taken.

809.0507 Separation Notice

Normally, employees who are being terminated by the University shall have a two-week working

notice given them. This does not apply to those employees being dismissed for policy infraction,

including theft and continued absence. Should the presence of an employee who is to be terminated create a disruptive force within the office, a Department/Unit Head may recommend two

weeks paid notice and have the employee leave immediately. This is contingent upon availability of

funding within the affected area.

809.06 ANNUAL LEAVE (VACATION)

University Classified Employees and twelve (12) month employed Faculty earn and accrue annual

leave (vacation) in accordance with Sections 804.12 and 805.16 of this Manual. To the degree

possible, employees' requests for specific periods of annual leave shall be honored. However,

considerations of workloads, work distribution, periods of heavy workloads dictated by the University

calendar (such as Student Registration), and other such factors may necessitate changes.

Departments/Units should encourage employees to request predetermined annual leave (vacations)

at least two (2) weeks prior to the date for the leave. In the event of a conflict, employee seniority

and work loads should determine first choice. Periodic/incidental annual leave should be approved

on a first-come-first-served basis.

809.0601 Leave Request Form

Prior to scheduling and taking annual leave, employees should request the approval of such leave by an Albany State University Application for Personal Leave of Absence (Exhibit No. 809.0601-1) in

accordance with the following procedures:

809.060101 An employee will complete the Application for Personal Leave of Absence, in duplicate, and submit to

his or her Immediate Supervisor who will, after his or her approval, forward the form (two copies)

through appropriate channels to the Office of Human Resources Management for verification,

posting and use in checking Time Sheets covering the period that the leave was taken, in order to

ascertain that the leave was appropriately approved before payroll check for that period is issued;

and

809.060102 The Office of Human Resources Management will file the original of the Application and return the

duplicate to the employee.

809.060103 The Office of Human Resources must ensure that annual leave has been requested and approved in

advance of taking the leave and prior to the employee's receiving pay for the payroll period covered.

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810 FAIR LABOR STANDARDS ACT (FLSA) AND WAGE AND SALARY ADMINISTRATION

The following policies and procedures are adopted as a result of the United States Supreme Court

decision in Garcia vs. San Antonio Metropolitan Transit Authority, which established that state employees are again covered by the provisions of the Fair Labor Standards Act (FLSA).

810.01 MINIMUM AGE PROVISIONS

Sixteen years is the minimum age for most employment covered by the Fair Labor Standards Act.

This Includes employment in agriculture during school hours or in any occupation in agriculture not

declared hazardous by the Secretary of Labor. Eighteen years is the minimum age for employment in an occupation declared hazardous by the Secretary of Labor. Of particular interest are Hazardous Orders prohibiting the employment of minors 16 and 17 years of age as motor vehicle drivers and outside helpers, operators of elevators and in occupations involving the operation of certain power driven, woodworking, and bakery machines. (The Department's Child Labor Bulletin No. 101 gives details of restriction under the Hazardous Occupations Orders.)

Minors under the age of 18 can be employed in a position which is potentially hazardous only by securing an "Employment or Age Certificate" from the Georgia Department of Labor through the University Human Resources Management Office, which will coordinate and monitor all such requests. Such a certificate assures compliance with applicable Federal regulations.

810.02 STANDARD OFFICIAL WORK SCHEDULE FOR PERMANENT, FULL-TIME STAFF EMPLOYEES

Compensation for University employees is based on forty (40) hours per week. Special areas such as Water/Waste Water Plant Operators, Firemen and Law Enforcement personnel will be assigned special schedules and will be compensated according to regulations established by the Board of Regents in accordance with the Fair Labor Standards Act.

810.03 RESPONSIBILITY FOR SCHEDULING WORK

It will be a responsibility of each Vice President or other Executive Officer reporting to the President

to determine that their departments are complying with their authorized work schedules and any

overtime pay necessary must be approved by them or their designee within their area of supervision. Although each Vice President or other Executive reporting to the President is responsible for the manner in which overtime is authorized, it is equally important for their departments to prevent unauthorized work or overtime.

810.04 OFFICIAL ALBANY STATE UNIVERSITY WORK WEEK

The Fair Labor Standards Act defines a work week to be a regularly recurring period of 168 hours in

seven consecutive 24-hour periods. The work week need not coincide with the calendar week. It

may begin on any day of the week and at any hour. When a work week is established for an

employee or a group of employees, it remains fixed regardless of hours worked by the employee or

employees. The work week may be changed, but only if the change is intended to be permanent. The official Albany State University work week begins at 12:01 a.m. each Saturday and runs for seven consecutive days -- 168 hours.

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810.05 OVERTIME

The Federal Fair Labor Standards Act provides that employees in nonexempt positions be paid

overtime at premium rates (1.5 times their hourly rate) for any time worked in excess of 40 hours in

a work week. Departments making overtime calculations for nonexempt employees paid on a

salaried basis will first have their annual salary converted to an hourly rate before applying the

premium rate (1.5). It is the policy of Albany State University that overtime work is held to a

minimum consistent with the needs and requirements of sound and orderly administration. All

requests for overtime must be submitted in writing and approved in advance by the appropriate Vice

President or other executive officer reporting to the President.

810.06 VOLUNTEERS

A state employee may volunteer to perform services for a State agency or a political subdivision of the State if:

a. The individual receives no compensation or is paid expenses, reasonable benefits, or a nominal

fee to perform the services for which the individual volunteered, and b. Such services are not of the same type of services that the employee is assigned as his or her primary assignment.

Any Albany State University employee wanting to perform volunteer services for another State

agency or political subdivision of the State should obtain from Human Resources Management the

appropriate form to complete and process.

Any question on the volunteer status of individuals should be referred to the Albany State University

Office of Human Resources Management.

810.07 TIME WORKED ON AN OFFICIAL UNIVERSITY HOLIDAY Time off later for working on an official holiday is not considered as compensatory time off but is a holiday compensatory leave credit. A permanent non academic employee who is required to work on an announced holiday must be given an equal time off within twelve months, regardless of any overtime earned during the work week. Holiday announcements are made annually by the President of the University.

810.08 HOURS WORKED

All time during which an employee is required to be on the employer's premises, on duty or at a

prescribed work place, except for meals or other periods when the employee is free from duty, is

considered to be work hours and compensable. The Act contains special provisions for both those

who live on the employer's premises as well as for fire and police employees. Departments with

such employees should contact the University Office of Human Resources Management for a ruling

on the status of such employees.

The number of actual hours worked by a nonexempt employee in a particular work week, computed

at their regular hourly rate of pay, determines the amount of regular pay.

810.09 TRAVEL TIME

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Travel time may be hours worked under certain conditions. Ordinary travel from home to work or vice versa is not considered to be working time.

a. Travel During the Workday

Traveling by a nonexempt employee from one job site to another job site from the normal work site at the beginning and/or end of the scheduled workday is compensable.

b. Travel Overnight

Nonexempt employees traveling over night on University business must be paid for time spent in traveling (except for meal periods) during their normal working hours on their non working days (Saturday, Sunday, and Holidays), as well as on their regular workdays.

810.10 UNAUTHORIZED WORK

Hours worked by an employee in a nonexempt status without the employer's permission or contrary

to the employer's instructions must be considered as hours worked. It is important for each

employee to understand and to follow their authorized work schedule. Unrecorded hours worked

during a work week by an employee at the job site or at their home must be counted as hours

worked if the employer requires or permits such practice or has knowledge of such work.

The Fair

Labor Standards Act prescribes that such unauthorized work be compensated for as hours worked.

The supervisor should advise such an employee that performing unauthorized work could result in

disciplinary action. Each supervisor must enforce the no-work rule and may not unjustly benefit from work performed without their knowledge.

Unauthorized work is counted as time worked if the employer could have stopped it but did not, or if

he or she knows or has reason to know of this practice. Each department must have adequate internal controls which provide means of reviewing and evaluating the use of overtime.

810.11 ON CALL PAY

The Fair Labor Standards Act considers compensable working time as all time that an employee is

required to remain on call on the employer's premises or so close to a telephone that the employee

cannot use the time for his or her own purposes. Employees who are merely required to leave word

as to where they may be reached are not considered to be on call, and such time is not compensable. Final authorization of payment to an employee for "on call" status may be made only with prior, specific approval by the Vice President for Fiscal Affairs.

810.12 SPECIAL WORK SCHEDULE (SLEEP AND MEAL PERIODS)

When an employee is required to be on duty for 24 hours or more, the employer may exclude bona

vide meal periods and regularly scheduled sleeping periods of not more than eight (8) hours from hours worked, provided that:

1. Sleep Time a. The employer and employee agree (agreement may be expressed or implied) to the exclusion for sleep time.

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b. Adequate sleeping facilities are furnished. c. The employee can usually enjoy an uninterrupted night's sleep. d. Not more than eight (8) hours may be excluded for sleep. Actual sleep time up to eight (8) hours will be charged. Exception: If an employee gets less than a minimum of five (5) hours of sleep, then all hours during sleep time will be credited as hours worked. 2. Meal Period a. The employer and employee agree (agreement may be expressed or implied) to the exclusion of meal periods. b. The employee must be completely relieved from duty for the purpose of eating regular meals. c. No more than one (1) hour may be excluded for each regular meal period. Actual meal time, not to exceed one (1) hour, will be charged. If the meal period is less than thirty (30) minutes, the entire period will be recorded as hours worked. d. No more than three (3) regular meal periods may be scheduled within a given twenty-four (24) hours' period. The fact that an employee lives on the employer's premises and is on call 24 hours a day does not necessarily mean the employee is entitled to pay for all 24 hours. Such an employee has regular duties to perform but is subject to work at any time in the event of an emergency. An agreement should be reached with each employee in this category as to the extent of their duty which will make clear the time that will be considered as hours worked.

810.13 EQUAL PAY PROVISIONS

The FLSA and Georgia law prohibits employers from discriminating on the basis of sex in the

payment of wages for equal work. An employee of one sex may not be paid at a lower rate than an

employee of the opposite sex, in the same establishment for doing equal work on jobs requiring

equal skill, effort and responsibility which are performed under similar working conditions. This does

not prohibit salary differentials fairly determined by operation of the University's Employee Performance Evaluation system, longevity, or shift differentials. It will be the responsibility of the University's Office of Human Resources Management to see that the equal pay provisions are applied properly throughout the University.

810.14 FLSA EXEMPTIONS (EXECUTIVE, ADMINISTRATIVE, AND PROFESSIONAL EMPLOYEES)

The exempt and nonexempt status of any particular employee or position must be determined on the basis of whether the employee's actual duties, responsibilities, and salary meet all the FLSA requirements for exemption. Albany State University's Office of Human Resources Management is charged with the responsibility of determining the exempt or nonexempt status of positions/employees. Should there be any questions concerning the exempt or nonexempt status of any employee's position, individuals should call the University Office of Human Resources Management. The FLSA status code will be recorded in the Personnel Data Base by means of the employee's Personnel Action Form.

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Section 13(a) (1) of the Act exempts from the minimum wage and overtime provisions "any employee employed in a bona fide executive, administrative, or professional capacity." FLSA regulations do not permit exempt employees to be paid on an hourly basis. All exempt employees must be compensated on a salaried basis. These terms are defined as follows.

810.1401 Executive

A. TEST A

- In order to be exempt as a bona fide executive employee, all of the following tests must be met.
1. The employee's primary duty must be management of the enterprise, or of a customarily recognized department or subdivision.
 2. The employee must customarily and regularly direct the work of at least two or more other employees therein.
 3. The employee must have the authority to hire and fire, or recommend hiring and firing, or whose recommendations on these and other actions affecting employees are given particular weight.
 4. The employee must customarily and regularly exercise discretionary powers.
 5. The employee must devote no more than 20 percent of his or her hours worked to activities not directly and closely related to the managerial duties.
 6. The employee must be paid on a salary basis at a rate of at least \$155 a week exclusive of board, lodging, or other facilities.

The percentage tests on nonexempt work would not apply in the case of an employee who is in sole charge of an independent establishment or a physically separated branch establishment.

B. Test B

A special proviso is provided for executive employees paid a salary of at least \$250 per week. An executive employee paid at least \$250 a week on a salary basis (exclusive of board, lodging, and other facilities) is exempt if all of the following apply. 1. The employee regularly directs the work of at least two or more other employees. 2. The employee's primary duty is management of the enterprises or a recognized department or subdivision thereof.

810.1402 Administrative

A. Test A

In order to be exempt as a bona fide administrative employee, all of the following tests must be met.

1. The employee's primary duty must be either:

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a. Responsible office or non manual work directly related to the management policies or general business operations of the employer or the employer's customers; or b. Responsible for work that is directly related to academic instruction or training carried on in the administration of a school system or educational establishment. 2. The employee must customarily and regularly exercise discretion and independent judgment, as distinguished from using skills and following procedures, and must have the authority to make important decisions.

3. The employee must: a. Regularly assist a bona fide executive or administrative employee; or b. Perform work under only general supervision along specialized or technical lines requiring specialized training, experience or knowledge; or c. Execute under only general supervision special assignments. 4. The employee must not spend more than 20 percent of the time worked in the work week or work that is not directly and closely related to the administrative duties discussed above. 5. The employee must be paid on a salary of not less than \$155 a week exclusive of board, lodging, or other facilities, or in the case of academic administrative personnel in public or private schools, the salary requirement for exemption must be at least \$155 a week or one which is at least equal to the entrance salary for teachers in the employing school system or educational establishment or institution.

B. Test B

A special proviso is provided for administrative employees paid a salary of at least \$250 a week. An administrative employee who is paid on a salary or fee basis of at least \$250 a week exclusive of board, lodging, or other facilities will be exempt if all of the following are met. 1. The employee's primary duty consists of either: a. Responsible office or non manual work directly to the management policies or general business operations of the employer or the employer's customers; or b. Responsible work that is directly related to academic instruction or training carried on in the administration of a

school system or educational establishment. 2. Such primary duty includes work requiring the exercise of discretion and independent judgment.

810.1403 Professional

A. Test A

In order to be exempt as a bona fide professional employee, all of the following must be met.

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1. The employee's primary duty must be either: a. Work requiring knowledge of an advanced type in a field of science or learning, customarily obtained by a prolonged course of specialized instruction and study; or b. Work that is original and creative in character in a recognized field of artistic endeavor the result of which depends primarily on the employee's invention, imagination, or talent; or c. Work as a teacher certified or recognized as such in the school system or educational institution by which he or she is employed.
2. The employee must consistently exercise discretion and judgment. 3. The employee must do work that is predominantly intellectual and varied, as distinguished from routine mental, manual, mechanical, or physical duties. 4. The employee must not spend more than twenty (20) percent of the time worked in the work week on activities not essentially a part of and necessarily incident to the professional duties.
5. The employee must be paid on a salary of not less than \$170 a week exclusive of board, lodging, or other facilities. The salary requirement does not apply to an employee employed and engaged as a teacher in a school or educational institution.

B. Test B

A special provision is provided for professional employees paid on a salary of at least \$250 per week. A professional employee who is paid a salary of at least \$250 a week exclusive of board, lodging or other facilities will be exempt if all of the following are met. 1. The employee's primary duty consists of work requiring knowledge of an advanced type in a field of science or training, or work as a teacher in an activity of imparting knowledge, which requires consistent exercise of discretion and judgment.

2. The primary duty is artistic work that requires invention, imagination, or talent in a recognized field of artistic endeavor.

810.15RECORDS REQUIRED

Departments are responsible for maintaining certain kinds of information and data on all of their employees.

Records of hours worked and wages paid are required to be kept for all employees (nonexempt) who

are subject to the minimum wage and/or overtime pay requirements of the Fair Labor Standards Act. Records must also be kept on persons employed in a bona fide executive, administrative, or professional capacity.

In order to accommodate these record-keeping requirements, the following information should be maintained.

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810.1501 Items Recorded on Personnel Action Form
Items recorded on Personnel Action Form include:

- A. Name and social security number
- B. Home address, zip, etc.
- C. Date of birth
- D. Sex of the employee
- E. Occupation in which employed
- F. The department in which employed
- G. A regular rate of compensation and basis for payment (salaried or hourly)

810.1502 University Payroll Records

The official Albany State University payroll records Include:

- A. Total (gross) earnings paid each pay period, and net earnings after deductions
- B. Itemized deductions from gross earnings
- C. Closing date of pay period covered by payment
- D. Date of payment of earnings
- E. Actual time worked
- F. Leave taken

810.1503 Other Items Required

In each department, the remaining items are required by law to be kept on nonexempt employees:

- A. Hours worked each work day and total hours worked each work week (use of a time card or time sheet)
- B. Hours in which the employee did not work, but for which he was paid at a regular rate, while on annual leave, sick leave, or a holiday.
- C. Value of any meals furnished to employee and/or value of any housing provided.
- D. Total weekly regular (straight-time) earnings
- E. Total excess compensation for overtime, if any, during each work week.

810.1504 Time Sheets and Other Payroll Records

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Departmental payroll records will be preserved permanently. The basic time records, individual

earnings, work schedules, wage rate tables, and supplementary basic records must be preserved at

least three calendar years.

Care should be taken to ensure that time sheets reflect actual hours worked, not just hours scheduled. Also, time sheets, cards or other forms reporting time worked must have the signature

of both the employee and a supervisor **before it is sent to the Payroll Office**. This must be the

employee's actual signature; the supervisor may not sign for the employee. The employee's

signature ensures that he or she concurs with the hours reported and should reduce the incidence

of error.

Falsification of attendance or leave records will be cause for disciplinary action up to and including

dismissal.

899 WORK RULES

A diverse assemblage of personnel such as Albany State University must necessarily establish

uniform work rules to serve as a guide for its employees and supervisors. The purpose of these

rules is not to restrict employees, but to improve efficiency; to provide for fair, consistent, and equal

treatment of all employees; and to communicate clearly management's expectations. Not all work environments are identical and, therefore, one set of work rules will not apply to all employees. Supervisors must know the rules that apply to their Departments/Units as well as unwritten practices that are commonplace. Work rules should be clear, reasonable, and understandable. Employees are more likely to conform to rules that are clear and reasonable. Supervisors should regularly review and, if necessary, update all rules and practices. A Supervisor should not assume that employees will learn rules by word of mouth. Initially, work rules may be communicated orally, but it is necessary to reinforce this communication in writing. Announcements in newsletters and notices on bulletin boards are the most common forms of communication and may be reinforced by inclusion in policy manuals and employee handbooks.

Work rules should be disseminated yearly to all employees within the Department/Unit and should

be accessible to management and employees at all times so as to encourage an atmosphere of open communication and prevent work rules/policies from becoming unused sacred documents.

Supervisors who enforce work rules consistently and without discrimination gain the respect and

cooperation of their employees. This respect can be quickly lost if some employees are allowed to

bend the rules. A basic attitude for Supervisors to remember and practice is to treat their employees as fairly as the Supervisors themselves would like to be treated. Being overly lenient or

overlooking rules altogether invites disrespect, and over a period of time the rules become dormant

and unenforceable. To enforce a dormant work rule, Supervisors must again communicate to employees the rule and the consequence of infraction.

By establishing clear, reasonable, and understandable work rules, communicating the rules to employees and applying the rules consistently, a Supervisor sets the standards for employee performance and behavior. As one might expect, not every employee will measure up to performance standards or comply with established work rules. When this occurs, a Supervisor's responsibility is to take the necessary progressive disciplinary action.

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Not every work situation can possibly be covered in this section. Past practices and common sense should guide employees in these instances. For additional information, employees and Supervisors should refer to other sections of this manual.

If an employee believes he or she has been treated unfairly or inconsistently with respect to the established work rules, the employee should bring the concern to the attention of his or her Supervisor. If satisfaction is not received from the Immediate Supervisor, the employee should request resolution through the proper administrative channels and ultimately through the Human Resources Office.

These Work Rules are not intended to replace or modify the Policies and Procedures of this Manual. They are intended to summarize them and, in some cases, simplify and/or further explain the basic policies and procedures.

This section may be reproduced and distributed to employees as a Work Rules booklet.

899.01 CONFIDENTIALITY

Employees entrusted with information of a confidential nature should not reveal such information to co-workers or others without proper authorization. The unauthorized release of confidential information from files, microfilm, electronic data, conversations, personal observations, or knowledge may result in immediate termination.

899.02 DISCRIMINATION

All employees are encouraged to review the policies of the University. If an employee believes his or her rights, as stated in the Policies of this Manual, are being abused or there is discrimination, he or she should contact his or her Supervisor or the Human Resources Office.

899.03 DRESS AND APPEARANCE STANDARDS

Each employee is responsible for presenting a personal appearance which demonstrates good grooming and neatness. Personal appearance should not distract others and should comply with safety standards. The diversity in the nature of the work performed and the settings in which it is performed may necessitate Departmental/Unit dress and appearance standards which vary from the general regulations stated below. Standards must be reasonable and consistently applied to men and women performing similar work in similar settings. The following should apply:

Appropriate dress will be determined by the individual Departments/Units;

There is no established standard regarding hair length. Hair restraint or hair covering rules may be established by individual Departments/Units where safety and/or sanitation is a factor;

Albany State University will provide uniforms for all employees required to wear specific attire as a condition of employment (protection, identification). The Supervisor will inform the employee if the Department/Unit has a policy on uniforms. Operating units will determine responsibility for cleaning and maintenance of protective clothing; and If uniforms are provided, they are to be worn for University-related duties only.

899.04 KEY POLICY

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Each Department/Unit Head or designee is responsible for keys issued to personnel within his or her Department/Unit. A log of personnel receiving/returning keys should be maintained within the Department/Unit.

Each employee is responsible for the safekeeping of University keys in his or her possession. An employee should never leave keys in a conspicuous place.

It is recommended that extra/duplicate keys be kept in a locked cabinet and coded appropriately

with the code being filed separately for security purposes. Any key that has been checked out from

an authorized central location should be returned at the end of the work day. When an employee terminates or transfers, he or she must return all keys to the Department/Unit Head or his or her designee.

The University does not allow duplication of University keys by outside sources.

899.05 MEAL BREAKS

Unpaid Departmental/Unit lunch periods are either thirty (30) minutes or sixty (60) minutes in

duration and are scheduled by the Department/Unit. The employee must be completely relieved of

all duties. If the employee must perform work duties—for example, answering the telephone—the time would be compensable.

When the lunch period is a paid part of the regularly scheduled work day, it must be less than 30 minutes. In this case, Staff members are expected to eat their lunch as time and work schedules permit.

899.06 OFFICE DECOR

Employees should be allowed, within reason, to decorate their offices or desk areas with personal

effects. Employees should, however, remember that an office is first and foremost a place of

business. Personal effects should not be overpowering and good taste must be maintained. When

in doubt, employees should consult their Supervisors.

Pictures, posters, calendars, etc. with nude or partially clothed persons or posters with lewd references are **not** appropriate in a business environment and should not be displayed on work premises, including private offices, shops, break areas, rest rooms or lockers.

899.07 OFFICE PARTIES

Parties (including wedding or baby showers, and birthdays) not related to University business should be held during lunch periods, during employee break/rest periods, or after working hours. The use of University space is allowable.

University-related functions (employee retirement, transfer, or termination parties), awards and recognition ceremonies, Departmental/Unit Christmas parties, receptions, and the like are permissible during normal work hours.

It is the responsibility of the Department/Unit Supervisor to maintain adequate staffing to ensure that

there is no interruption in customer service.

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899.08 OVERTIME/HOLIDAY POLICY

Overtime Assignment. When possible, overtime and holiday work assignments will be distributed equally among all full-time employees. All nonexempt employees are expected to work overtime as the need arises and/or requested unless they are excused for valid reasons.

When work schedules require overtime or work on a holiday, University practice dictates that these opportunities be offered to those employees who are performing the same or similar work, and who desire the overtime or holiday work. Except in emergencies, the Supervisor must pre-schedule overtime and holiday work. This allows employees to be notified of required overtime/holiday work as far in advance as possible. The Supervisor must receive prior approval for overtime work from the Office of Human Resources Management. Overtime work will be compensated either by overtime/holiday pay or by compensatory time-off and all overtime or compensatory hours worked more than 40 hours will be computed at time and half (1½).

In using compensatory time off in lieu of overtime/holiday pay, an employee who has requested use of accrued compensatory time off must be permitted to use such time within a reasonable period after working the overtime/holiday hours, as long as such use would not unduly disrupt the operations of the Department/Unit. If an individual is on a workweek of less than 40 hours, there is no additional compensation until after 40 hours. If an employee is refused the choice between overtime/holiday pay and compensatory time, he or she may have legitimate reason to refuse an offer of overtime/holiday work.

899.09 PERSONAL AUDIO EQUIPMENT LIMITATIONS

Employees shall not wear personal audio headphones while performing duties. Any device which introduces sound directly into the ear is prohibited. Hearing aids are not included in this rule.

Wearing of such headphones is prohibited because they may contribute to the following hazardous

working conditions:

They can draw the employee's concentration away from potentially hazardous situations;

Wires leading to units worn or carried elsewhere on the body may become caught in moving equipment or machinery, or interfere with personal protective equipment; or

They may interfere with the employee's ability to respond to job situations where an auditory alarm or feedback is essential, for example:

Where equipment start-up alarms are used,

When a change in the sound indicates an equipment malfunction, or Where warning or other verbal communication from Supervisors or fellow employees is necessary.

Approved non sound-generating earplugs or muff protectors designed for hearing protection and

special headphones approved by Supervisors to be worn during the performance of specific duties

are not prohibited.

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Other types of radios may be played with Supervisor's permission, provided the volume is kept at a

level which does not interfere with the employee's work performance or that of co-workers.

899.10 PERSONAL VISITORS

Personal, non-business visitation in the work place should be kept to a minimum. Any abuse should be discussed with the Supervisor for appropriate action.

899.11 PERSONALLY-OWNED TOOLS/EQUIPMENT ON UNIVERSITY PREMISES

There are occasions when employees use items of personal property (tools and equipment) on University premises. Such personal tools/equipment should be tagged, engraved, or labeled to clearly indicate personal ownership. Personal equipment remains on campus at the owner's risk. The University's insurance does not cover personally owned property; therefore, the University cannot assume responsibility for maintenance or upkeep.

899.12 PROFANITY IN THE WORKPLACE

Freedom of Speech is one of the basic and most precious rights of American citizens. However,

the use of profane or vulgar language can both embarrass other employees and make them unnecessarily uncomfortable. Thus, it is important that each employee be considerate of others in the workplace by not using such language. An employee should bring the use of offensive language to the attention of the appropriate Supervisor.

899.13 PUNCTUALITY

Employees shall be punctual and comply with the scheduled hours of his or her official work day,

including reporting for work, taking rest periods and lunch breaks, and leaving at the end of the day.

If an employee is late or absent from work, he or she must notify his or her Supervisor, or designee,

within the first fifteen (15) minutes of the work day.

Tardiness may result in the employee taking leave or having his or her pay reduced to cover the absence. Habitual tardiness or failure to observe assigned work hours could result in disciplinary action as prescribed by Progressive Discipline Policy in this Manual.

899.14 REST PERIODS

Employees are entitled to a rest period taken at a time and place and in a manner which does not

interfere with the efficiency of the Unit or other employees. These breaks in the work schedule are

authorized in the interest of the employees' health and efficiency. The rest period will be with pay and will not exceed 15 minutes for each four hours of work. This period is intended to be a recess to be preceded and followed by an extended work period. Consequently, it may not be used to cover tardiness, early departure, or extended lunch period or regarded as cumulative if not taken. Because of insurance liability and possible emergency situations, all rest periods must be taken within the building, specific job site, or University grounds.

Smokers may take smoking breaks in designated areas instead of a rest period, but the **total** time should not exceed 15 minutes per half day of work.

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900 LOGISTICAL SERVICES

901 INTRODUCTION

Purpose and Scope

This division of the Manual has been written to provide Logistical Services policies and procedures at Albany State University. It is designed to enhance the application of Federal and State Laws, Department of Administrative Services (DOAS) regulations and procedures, University System of Georgia policies and guidelines, and local University policies and procedures and to ensure effective

and efficient operation of the Logistical Services function for the University community. These sections are designed to provide a reference for Administrators, Faculty, and Staff in the determination of regulations, policies and procedures for using Logistical Services, and the proper methods for working with its service sections to obtain assistance and formalized procedures for processing requests (orders), follow-up inquiries, and orderly monitoring of the status of initiated requests.

Sometimes University administrative personnel responsible for specific budgets or funds may require additional procedures beyond the scope of this Manual. Logistical Services personnel will assist in these situations.

902 FUNCTIONS OF LOGISTICAL SERVICES

The Director of Logistical Services who reports to the Vice President for Fiscal Affairs is assigned responsibility for the following functions:

- Procurement,
- Central Stores,
- Inventory Control,
- Postal Services,
- Moving and Other Logistical Services,
- Records Management, and
- Risk Management.

903 FUNCTIONS AND RESPONSIBILITIES OF THE DIRECTOR OF LOGISTICAL SERVICES

The Director of Logistical Services does the following:

Implements and disseminates current instructions, directives, and policies from Federal, State, University System of Georgia, and University authorities concerning the functions and operations of Logistical Services;

Constantly studies internal operations of Logistical Services Sections to maintain the most practical order and efficiency, and ensure close cooperation with Departments/Units concerning Procurement and Central Stores Operations;

Maintains centralized records and control of all University Procurement files following the Department of Administrative Services Policies;

Provides moving, delivery and general setup services for the University;

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Oversees all activities, services, and pricing methods of printing and duplicating off campus;

Manages operation and accessibility of all campus utility storage facilities to ensure equitable, practical, and efficient use by all Departments/Units of the University;

Provides using Departments/Units with current cost information on supplies, equipment, and materials as requested, and processes orders for these needs;

Provides for receipt and inspection of goods and materials ordered and received;

Negotiates adjustments and claims for defective or incorrect items;

Identifies and disposes of surplus equipment, salvage and scrap according to State regulations;

Makes periodic checks of perpetual inventory records and current operational procedures, and recommends improved policy and procedure changes and methods of accounting for State consumable and non consumable property; and Documents and reports to the Vice President for Fiscal Affairs any matter related to these sections which either has the appearance of illegality or could violate the integrity of the University regarding the public administration aspect of this Manual.

904 PROCUREMENT ORGANIZATION

904.01 DESIGNATION OF AGENCY (UNIVERSITY) PROCUREMENT

OFFICER Each State agency or institution is required to designate an individual as the Agency Procurement Officer to implement the requirements of the State purchasing system. This document (executed by the Vice President for Fiscal Affairs, and reviewed annually with copies furnished to appropriate

Officers of The University System of Georgia and Department of Administrative Services), officially

designates the University's Procurement Officer. This ensures that a review of the assigned functions and responsibilities listed in the Manual has been made, and details any changes or amendments deemed necessary and/or appropriate.

NOTE: IN THIS MANUAL THE AGENCY PROCUREMENT OFFICER MAY BE REFERRED TO AS:

AGENCY PROCUREMENT OFFICER, AGENCY (UNIVERSITY) PROCUREMENT, OR PROCUREMENT OFFICER.

904.02 DELEGATION OF PROCUREMENT AUTHORITY

The Designation of Procurement Officer document also delegates procurement authority to such

personnel (Buyer) deemed appropriate, with the authorization to sign State Requisitions and/or Field

Purchase Orders. This authority, in effect, assigns to the Agency (University) Procurement Officer

the functions of monitoring, auditing, and required reporting to The University System of Georgia and

Department of Administrative Services (DOAS). The location and maintenance of all files of

activities of each delegated Buyer having procurement authority shall be described. This document

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also ensures that a review of the activities of each Buyer has been accomplished, and shall detail any changes or amendments deemed necessary and/or appropriate. In all matters concerning the procurement function of the University, the designated BUYER is administratively assigned to, and reports directly to the Agency (University) Procurement Officer, without regard to physical location and/or administrative assignment for other roles or duties for which the individual may be responsible. This is required so that one individual can accept total responsibility for University procurement activities as required in the AGENCY PURCHASING MANUAL (Department of Administrative Services), Section III A (1)(1).

904.03 FUNCTIONS AND RESPONSIBILITIES OF THE AGENCY (UNIVERSITY)

PROCUREMENT OFFICER

The Agency (University) Procurement Officer:

Ensures that all State Purchasing laws, rules, regulations and procedures are observed within University procurement;

Ensures that all legal requirements are met within agency procurement activities;

Ensures compliance with all current procurement rules and regulations issued by the Director of DOAS Division of Materials Management, and provided as standard operating procedures and practices in the DOAS Agency Purchasing Manual (APM). The APM is the primary reference document for questions about purchasing policy and procedures. If guidance cannot be found in the APM, then DOAS will be contacted to determine correct procedure;

Controls, prepares and submits procurement documents for agency needs for all materials and services, accepting total responsibility for agency procurement and liaison with DOAS;

Prepares specifications in cooperation with using Departments/Units, determines priority of needs, and selects the vendor to provide the items;

Affixes his or her signature to all Purchase Order documents in accordance with State requirements and, subject to approval of the Vice President for Fiscal Affairs, designates an official to sign such documents in his absence;

Maintains all necessary agency procurement records and submits all required reports;

Provides adequate inventory control and reordering methods to ensure effective procurement. Is responsible for all delegated procurement authorities; and Ensures that the ethics of professional purchasing behavior are met by all employees under his or her supervision and/or direction.

These specific responsibility assignments, and procedures designated for execution are referenced

in the DOAS Agency Purchasing Manual, Sections II, III. and V.

905 POLICY STATEMENTS FOR PURCHASING

The purpose of this section is to compile the essential State laws and regulations, Board of

Regents policies and procedures, University policies and procedures, and other applicable

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restrictions, guidance, etc. deemed necessary and appropriate to ensure their compliance by all personnel of the University who have responsibilities for any part of the procurement function.

905.01 POLICIES OF THE BOARD OF REGENTS OF THE UNIVERSITY SYSTEM OF GEORGIA

These policies are published in many forms; in certain instances they appear in memoranda which deal with subjects affecting University purchasing only in specific areas.

Section 707 of the Board of

Regents Policy Manual (BRPM) states:

“The University System shall utilize the sources of the central purchasing agency for the State of Georgia rather than establish a separate control purchasing office. In doing so, the Board directs that each of its operating units comply with the various statutes, rules and regulations governing purchases with State appropriated funds. In addition, the same regulations shall apply to purchases from funds to which the University System has title.”

Some funds, and therefore purchases, are exempt from State Purchasing laws and regulations, but

are NOT exempt from Board of Regents accounting regulations and procedures. All such policies,

procedures and regulations relative to accounting and audit functions must be observed for all

purchases. Compliance responsibility for the purchasing aspect of these funds resides with the

Agency (University) Procurement Officer. The Vice President for Fiscal Affairs, acting either for the

University or the Board of Regents Central Office as the circumstances dictate, will directly control

all transactions which are exempted by State and University policy from DOAS regulations. Partial

quotations from the Board of Regents Policy Manual are as follows:

“Funds held by units of the University System of Georgia in an agency capacity (where neither the University System nor the University takes title to the funds or the property purchased with the funds) are not subject to the rules and regulations of the central purchasing agency of the State. (Note: This is the only exception the Board of Regents makes to the regulations of DOAS.)”

“All purchasing by units of the University System of Georgia will be centralized under the direct management and control of the chief business officer of the administrative unit concerned.”

“When purchases are made by a unit of the System, as opposed to being made by the central purchasing agency of the State, professional practices for purchasing in the public environment are to be employed at all times.” (BR Policy 707) “All service contracts not regulated by the Division of Purchasing of the State of Georgia between the Board of Regents, or its authorized representative, and a private contractor shall require Board approval and shall be implemented by the Vice Chancellor for Fiscal Affairs.” (BR Policy 709.01)

The Agency (University) Procurement Officer maintains an active file of relevant Board of Regent documents and can furnish any appropriate references required.

905.02 STATE OF GEORGIA LAWS AND POLICY
905.0201 State Laws

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The General Assembly has enacted laws dealing with the policy and procedure of purchasing for

State agencies. By an act of the 1939 Legislature, it established a separate and distinct agency of

the State of Georgia entitled Office of the Supervisor of Purchases, charged with responsibilities as

the central purchasing agency of the State.

Under the "Executive Reorganization Plan of 1972," Senate Bill 499, all the functions of the Office of

the Supervisor of Purchases and the Supervisor of Purchases were transferred to the Department of

Administrative Services (DOAS).

The Act authorizes and empowers the Division of Materials Management of DOAS to do all

purchasing for the State of Georgia; to make all rules, regulations and stipulations; to control State

purchasing; and to provide specifications to carry out the terms and requirements of the Act. All

departments and agencies of State government have been furnished copies of such rules, regulations and stipulations for guidance in complying with the purchasing laws of the State. Partial

quotations from the laws follow:

"The Purchasing and Surplus Property Division of DOAS shall have power and authority and it shall be the department's duty, subject to the provisions of this chapter:

"Competitive Bidding: To canvass all sources of supply and to contract for the lease, rental, purchase or other acquisition of all supplies, materials, and services, other than professional and personal employment services, and equipment required by the State Government, or any of its departments, institutions or agencies under competitive bidding in the manner and subject to the conditions hereinafter provided for. "Standard Specifications: To establish and enforce standard specifications which shall apply to all supplies, materials, and equipment, purchased or to be purchased for the use of the State Government for any of its departments, institutions or agencies. "Utility Contracting: To contract for all telephones, telegraph, electric light, postal and any and all other contractual purchases and needs of the State Government, or any of its departments, institutions or agencies; or in lieu of such contract to authorize any Department, institution or agency to purchase or contract for any or all such services. "Authority Over Inventories and Surplus Property: To have general supervision of all store rooms and stores operated by the State Government, or any of its departments, institutions or agencies; to provide for transfer to and/or exchange between all State departments, institutions or agencies, or to sell all supplies, materials, and equipment which are surplus, obsolete or unused; and to maintain inventories of all fixed property and of all movable equipment, supplies and materials belonging to the State Government or any of its departments, institutions or agencies.

"Purchase of Printing: To make provision for and to contract for all state Printing, including all printing, binding, paper stock and supplies or materials in connection with

the same, except as hereinafter provided. And for the purpose of obtaining bids on printing he shall have the power to divide the printing into various classes, and to provide stipulations and specifications therefor and advertise, receive bids and contract separately for the various classes, and for the purpose of making effective this chapter, Chapter 90-1 of the Code of 1933 be and the same is hereby repealed. . . ." (Code Section 40-1902)

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“Contracts Not Through Department of Administrative Services: Whenever any Department, institution or agency of the State Government, required by this Chapter and the rules and regulations adopted pursuant thereto applying to the purchase of supplies, materials or equipment through the Purchasing and Surplus Property Division shall contract for the purchase of such supplies, materials or equipment contrary to the provisions of this Act or the rules and regulations made hereunder, such contract shall be void and of no effect.” (Code Section 40-1918)

“Officer Purchasing Personally Liable: If any such Department, institution, or agency purchases any supplies, materials or equipment contrary to the provisions of this Act or the rules and regulations made hereunder, the Executive Officer of such Department, institution or agency shall be personally liable for the cost thereof, and if such supplies, materials or equipment are so unlawfully purchased and paid for out of the State funds, the amount thereof may be recovered in the name of the State in an appropriate action instituted therefore.” (Code Section 40-1919)

In addition to these laws the opinions of the Attorney General and regulations established by DOAS

have the weight of law. (APM, Section II, Page A1, No.3)

Note: The title, “Purchasing and Surplus Property Division of DOAS,” cited in the above Code of Laws is now officially known as “The Division of Materials Management of DOAS.”

905.0202 Regulations of the Department of Administrative Services
(DOAS)

The DOAS Division of Materials Management has published rules and regulations to supplement and implement the purchasing laws. Quotations from these rules and regulations appear as appropriate and applicable throughout this manual. The DOAS manual details authorities for purchasing operations at the University. There are no implied authorities to purchase in the State policy.

This Agency Purchasing Manual (APM) is intended to be the primary source of reference for the

Procurement Office. The Agency (University) Procurement Officer should refer to this Manual for

answers to any purchasing questions or problems. The operating policies and procedures contained

in this Manual are intended to comprise the body of rules and regulations pertinent to State purchases. The manual supersedes, voids and replaces all previous publications, handbooks, special approval memos, the Georgia Vendor Manual, etc. Questions and clarifications not adequately covered by this Manual should be processed according to APM, Section I, Pages B1 and B2. [APM, Section II, Page B1]

Prior to any implementation by the University, DOAS must grant permission for any exception to or

deviation from the APM. [APM, Section II, Page B1, Item 5.]

905.03 STATE OF GEORGIA AUDITING DEPARTMENT AND THE
STATE LAW
DEPARTMENT

Both agencies have the function of interpreting law and policy, rather than setting it. Their actions and interpretations, however, greatly affect policies and procedures.

“To each and every invoice paid by any State agency or Department, there shall be attached the delivery receipt and also a copy of the purchase order issued by Department of Administrative Services. And it shall be the duty of the State Auditor to disallow, as an

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illegal payment, any payments that do not have the receipts and purchase orders attached to the invoice paid. It shall also be the duty of the State Auditor to point out these items in the annual audit of each agency or Department.” (Code Section 40-1935) It is among the duties and powers of the State Auditor to call special attention to any illegal, improper or unnecessary expenditures, and all inaccuracies, irregularities and shortages, and to make specific recommendations for future avoidance. With respect to State Purchasing standard operating practices contained in the Agency Purchasing Manual, the Agency (University)

Procurement Officer is responsible for determining that the Agency’s Requests for Purchases abide

by the rulings of the State Auditor. (APM, Section II, Page B2 Item 5.)

905.04 ALBANY STATE UNIVERSITY POLICY

The University follows the philosophy that successful procurement can best be administered by a

single Unit that specializes in this function and works in cooperation with other Departments/Units

and State agencies in making purchases. At the University, therefore, the Office of Procurement, a unit of Logistical Services which reports to the Vice President for Fiscal Services, is responsible for the procurement of supplies, materials, equipment and contractual services. The Procurement Officer within Logistical Services has sole responsibility, at the University, for negotiating, preparing, executing or recommending execution, and for awarding and administering all contracts, purchase orders and rental agreements that involve expenditures for supplies, materials, equipment and contractual services that are not specifically excluded from State Purchasing guidelines. (Such procurements for excluded and/or exempted items are discussed in other sections of this Manual.) Questions related to policy and procedure for these exempted purchases should be directed to the Procurement Officer. The Agency (University) Procurement Officer is the University's only channel of contact with the Division of Materials Management and is responsible for the coordination of all the University's procurement activity with appropriate State agencies.

905.0401 Resolution of Unauthorized Charges

As a matter of policy the Procurement Office will not prepare or issue purchase orders for items already ordered directly by a Department/Unit of the University. Issuing an order after the fact could be interpreted as an attempt by the University to make it appear that the purchase was requested, contracted, and processed following State policy. The attempt to make the transaction appear within the established process could be interpreted as a falsification of State records for circumventing purchasing laws. If a Department/Unit of the University finds that an employee has inadvertently obligated the University for a purchase, the provisions of Section 909, Resolution of Unauthorized Charges to University Funds, must be followed.

905.05 AUTHORITY FOR APPROVAL OF PURCHASES

905.0501 Authority to Authorize Expenditures of Departmental/Unit Budget Funds

The University budget establishes funds to be used for certain purposes under the authority of the designated Department/Unit Head. Within the prescribed budgetary limits, he or she has primary responsibility for approval of all expenditures charged against accounts under his or her administration.

A Department/Unit Head may delegate the authority to sign and approve expenditures on appropriate documents, providing a written notice to the Fiscal Affairs Office; however, the responsibility for such approval cannot be delegated.

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In the event that the Department's/Unit's budget does not have an adequate balance to cover

estimated costs at the time a Request for Purchase is submitted, it must process a request for

Budget Amendment to cover the Request for Purchase. Here, the Request for Purchase **MUST** be

signed by the appropriate Dean or Director and Vice President certifying approval and transmittal of

the enabling Budget Amendment. The Department/Unit Head is responsible for making this determination and securing the appropriate signatures. Additional approvals are necessary for the following items:

Electronic Data Processing Equipment,
Word Processing Equipment,
Telecommunication Services, Supplies and Equipment,
Motor Vehicles,
Photocopiers,
Microfilm Systems, Equipment and Supplies,

Equipment Purchases Involving Trade-in of University Owned Equipment or Personal Property, and Equipment Purchases having Office of Planning and Budget (OPB) Restrictions. [Agency Purchasing Manual, Section IV, Pages C1 through C9]

Albany State University policy requires that classified advertising for vacant positions be approved

by the Vice President for Academic Affairs for all Faculty positions, and by the Director of Personnel for all Staff positions.

For proper documentation and handling, a Department/Unit must report to the University Safety Officer any order of hazardous materials.

905.0502 Authority to Purchase with University Funds

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A. Authority Delegated to the University by DOAS Purchasing

The authority of the University, as interpreted by DOAS Division of Materials Management, to commit funds for supplies, materials, equipment, and contractual services falls into six categories, the first five of which are areas in which the University can make commitments to suppliers:

Category 1, Exempt Purchases

Exempt purchases involve commitments that are exempt from DOAS control. These include construction or public works contracts of the Board of Regents, the Department of Transportation, and then State Authorities; personnel employment services of persons who work full or part time for and under the control of the State and receives compensation as a salary in direct payment from a department, agency, or institution of State Government; certain professional services, and a few non-State fund categories. (APM, Section V, Page D9)

Category 2, Special Purchase Authority

These purchases involve commitments in four areas considered delegated by State Purchasing to the University. (The term, "Special Purchase Authority," has a special meaning that limits it to four areas and does not include the more generalized authority called "small value" authority [SVA].) The four areas are: (a) perishables, (b) services, (c) specialized items, and (d) limited special purchase authority number.

These and their procedures for processing are listed in APM, Section V, Pages D1 through D12 and are very specific in their interpretation. However, special purchase authorities do not take precedence over consolidated, combined, or more advantageous methods of purchase such as contracts, scheduled buys and the like (APM, Section V, Page D12, Item I) and are subject to competitive bid requirements. (APM, Section V, Page D1, Items 3. and 4.)

Category 3, Small Value Authority (SVA)

This authority derives from State Purchasing, and is divided into two subcategories: (a) purchases under \$2,500 in value - competitive bids are not required, and (b) purchases of \$2,500 to \$10,000 in value - competitive bids (or written justification for their absence) are required. (Note: The \$10,000 limit is set by DOAS for the University.) This category of purchase should also be used for orders which fall within the "Special Purchase Authority" categories referenced above and itemized in the APM, Section V, Pages D3-D8, when these orders are less than \$2,500 in total value. Purchases of \$2,500 to \$10,000 in value will be handled in accordance with the procedures for Small Value Authority (SVA_CB) – Competitive Bidding Required, found in the APM, Section V, Pages E3-E4.

Emergency requirements under SVA authority limits are handled by the Agency (University) Procurement Officer using SVA-NB or SVA-CB, as appropriate. [See APM, Section V, Pages E1-E4.]

Category 4, Statewide and Agency Contracts

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Where State Purchasing has established a statewide contract with a supplier (or an agency contract for the University only), the University is granted authority to purchase against that contract by University Purchase Orders direct to the supplier.

Category 5, Emergency Purchases of \$2,500 or More

State Purchasing may grant individual purchase authority to the University for emergency purchases (of more than the SVA limits) that do not fall into other categories. Permission for each transaction must be individually obtained from State Purchasing. [See APM, Section V, Pages F1-F3.]

Category 6, All Other Purchases

For all other purchases, the University must send a State Purchase Requisition to the DOAS Division of Materials Management. When purchases are committed by the University in the first five categories, a Field Purchase Order is issued. For Category 6 items, the DOAS (Category 6) commits purchases on a State Purchase Order.

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A. Albany State University Policy on Approval to Expend Funds

The Agency (University) Procurement Officer has authority to commit University funds for supplies, materials, equipment and certain contractual services. However, he or she will act only when authorized by the requesting Department/Unit Head and approved by the Vice President for Fiscal Affairs.

The University delegates, through designated BUYERS, restricted purchase authority to the Plant Operations Department of the University. With limited exceptions, University Departments/Units are NOT authorized to make direct purchases on a charge basis. The exception for Plant Operations Department is detailed in the Procedures Section of this Manual in Section 908.1103 (Other Delegated Authorities) and Section 910.02 (Petty Cash Procedures).

In general, University Departments/Units have no purchasing delegation in any area where the law or State Purchasing regulations require formal competition or where central fiscal controls would be compromised.

905.06 RELATIONSHIP OF UNIVERSITY PROCUREMENT
SECTION TO OTHER

UNIVERSITY DEPARTMENTS AND DIVISIONS

The University Procurement Section is a service organization, and to be of maximum benefit to the

University, is largely dependent upon the cooperation and assistance of all University

Departments/Units. Cooperative interaction on a person to person basis will enable each individual

to perform his or her assigned responsibilities in a way that enhances the mission of the University. To define the relationship between the University Procurement Section and other University Departments/Units as fully as possible, certain governing policies are set forth. (Individuals are encouraged to contact the Director of Logistical Services, about interpretations or questions concerning any of these policies.)

905.0601 Authority to Solicit Bids

Only the Procurement Officer or designated Buyers is/are authorized by the DOAS Division of Materials Management to solicit bids. The Division of Materials Management CANNOT consider, under any circumstances, bids solicited by others. (In case of any emergency endangering the safety or life of an individual, the policy stated in Section 905.12 takes precedent. All University personnel should be familiar with these Emergency Procedures.)

905.0602 Authority to Communicate with DOAS Materials Management

All communications with the DOAS Division of Materials Management must be done through the Agency (University) Procurement Officer. No Faculty member or other employee may contact that Office to discuss requisitions, purchase orders, or other purchasing matters.

905.0603 Routing of Purchase Documents Before Completing any
Agreement for a Purchase

Before completing any agreement for a purchase that requires signed contracts, a Department/Unit

must route purchase documents through the Procurement Officer, or, if the purchase is exempt from State purchasing regulations, to the Vice President for Fiscal Affairs.

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905.0604 Authority to Commit University to a Purchase

Department/Unit Heads are not permitted to commit the University to any purchase, despite dollar

amount, unless authorized by either the Procurement Officer or the Vice President for Fiscal Affairs.

905.0605 Changes to an Order Executed by the Procurement Officer
Department/Unit Heads are not permitted to make any change to an order executed by the Procurement Officer, and should not discuss such action with any agent or supplier. If a change to

an order is deemed necessary or desired, the Head must submit written details to the Procurement

Officer.

905.0606 Correspondence with Suppliers

All correspondence with suppliers regarding quotes and orders should be handled through the

Procurement Officer. A memorandum to the Procurement Officer setting forth the circumstances

prompting the necessity for such correspondence with the supplier should be sent to the Procurement Office and necessary formal correspondence will then be accomplished by that Office. Correspondence with suppliers will be forwarded to the Office or Department/Unit concerned, as appropriate. It is recognized that occasionally there will be special cases where the technical details involved will make it advisable for the Procurement Officer to request the Department/Unit concerned to perform this function. In such cases, the Department/Unit must forward copies of all correspondence to the Procurement Officer.

905.0607 Advance Notification of Major Purchases

Departments/Units should advise the Procurement Officer, as far in advance as possible, of plans

that will require major purchases (over \$5000). Regarding such purchases, the Head must formally

advise the Procurement Officer, in writing if possible, when a supplier's representative visits a Department/Unit to discuss a proposed major purchase. The Head must provide to the Agency (University) Procurement Officer pertinent information about meetings with suppliers when such purchases are involved.

905.0608 Department/Unit Head to Contact Procurement Officer to Resolve Problems with Order

If a Department/Unit is having trouble receiving ordered goods, or in the interpretation of the meaning

of specifications, the Head should contact the Procurement Officer.

905.0609 Timely Submission of Requests for Purchase

Departments/Units should submit Request for Purchases to the Office of the Vice President for Fiscal Affairs as soon as need is determined to allow adequate time for requests from all Departments/Units to receive appropriate attention.

905.0610 Confidentiality of Information Regarding Orders, Materials, Prices or Future Plans of the

University

Employees should not reveal any information regarding orders, materials, prices or future plans of

the University to which supplier's representatives are not properly entitled, or which might weaken

the bargaining position of the University. The Rules and Regulations of the DOAS Division of

Materials Management require that ALL bids, despite dollar value, whether written or oral, sealed or

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unsealed, are to be confidential, and must not be revealed until the sealed bids are read at the

formal bid opening or the purchase order issued on other than sealed bids.

Department/Unit

personnel are prohibited from discussing current bid procedures with any vendor, and should refer all

vendor contacts or questions to the Agency (University) Procurement Officer.

905.0611 Responsibility for Handling Claims and Adjustments

The Central Stores Section, with the Procurement Office, handles the common-carrier claims for items lost or damaged in transit. The Procurement Officer must negotiate all other adjustments on purchases. (See the Central Stores Section of this Manual for specific procedures for implementation of this policy.)

905.0612 Authority of Procurement Officer to Question quality, quantity and kind of Materials Requested

So that the best interests of the University may be served, the Procurement Officer has full authority to question the quality, quantity, and kind of material requested.

905.0613 Procurement Officer Changes to Order with Advice and Consent of Department/Unit Concerned

When it appears to the Procurement Officer that the University would benefit by the procurement of materials, equipment, and supplies different from those shown on the Request for Purchase, or from

other than the recommended source, the Officer can make the change, with the advice and knowledge of the Department/Unit concerned.

905.0614 Department/Unit to Review Proposed Specification with Procurement Office

On proposed purchases involving formal specifications, the Department/Unit should review, as appropriate, with the Procurement Office before developing the specifications. During the review, certain general conditions and special conditions will be agreed on for inclusion in the specifications.

905.0615 Accepting Equipment on an Approval Basis

Departments/Units are requested not to accept equipment on an approval basis without first discussing the matter with the Procurement Officer. Vendors must be made aware of certain risks that they undertake, and purchasing policy with respect to approval equipment and supplies.

905.0616 Equipment Left by Vendors for Demonstration

When equipment is left by vendors for demonstration purposes, the Department/Unit should inform

them that the University assumes no responsibility for its loss or damage and that if a purchase is

made because of this demonstration, the equipment so purchased will be new, unused, and (when

appropriate) in original unbroken cartons, NOT the equipment demonstrated unless USED items are

specified in the request before the event of the demonstration. This also applies to video tapes, movies, software, and books.

905.0617 Accepting Equipment Designed to Dispense Single Manufacturer's Product

Department/Unit personnel are not authorized to receive by gift, purchase, lease or loan, any

equipment such as soap or detergent dispensers, towel, or tissue cabinets or holders, or any other

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equipment that will, or is intended to, dispense only one manufacturer's product. Such equipment should dispense any competitive product for which equipment is intended. Experience has shown that the gift will usually cost more in the long term because of lack of competition for the supplies.

905.0618 Specifications

Specifications should be as simple as is consistent with clarity, exactness, and completeness.

Specifications should be capable, wherever possible, of being met by several suppliers, reasonable

in their tolerances, flexible enough not to cause undue delivery delays, and capable of being checked against the items ordered and received.

905.0619 Contact with Suppliers After a Request for Purchase is Initiated

Once a Request for Purchase has been formally initiated by a Department/Unit, it must not contact

possible suppliers and must decline contacts by suppliers (and report such attempts to the Procurement Officer in writing) if such contact is attempted concerning a purchase before the issue

of a formal order (State Purchase Order or Field Purchase Order), unless such contact is made through or with the consent of the Procurement Officer.

905.0620 Telephone Marketing

Telephone solicitations for office supplies, copier and laser printer toner and similar products should

be referred to the Procurement Office. Experience has shown that most of these “deals” result in receiving poor quality merchandise at inflated prices.

905.0621 Purchases for Personal or Non-State Use

It is unlawful for the University to make purchases for the personal use of its employees. “It shall be unlawful for any employee or official of the State of Georgia to purchase, directly or indirectly, through the Supervisor of Purchases, or through any Agency, Department, Board or Bureau of the State, any article, material, merchandise, ware, commodity, or other thing of value for the personal or individual ownership of himself or other person or persons. All articles, materials, merchandise, wares, commodities, or other things of value purchased, directly or indirectly, by or through the Supervisor of Purchases or by or through any Agency, Department, Board or Bureau, or the State shall be and remain the property of the State of Georgia until sold or disposed of by the State in accordance with the laws governing the disposition or sale of other State property.” (Code Section 40-1936) “It shall be unlawful for any person to knowingly sell or deliver any article, material, merchandise, ware, commodity or other thing of value to any person, directly or indirectly, by or through the Supervisor of Purchases or by or through any Department, Agency, Board or Bureau of the State for the individual and personal ownership of such person or other person or persons, except that property of the State may be sold or otherwise disposed of in accordance with the laws governing the sale or disposition of State property.” (Code Section 40-1937)

“Within the meaning of this Act the word ‘person’ shall include natural persons, firms, partnerships, corporations or associations.” (Code Section 40-1938)

Purchases made through State sources cannot be resold to employees or the public. The State has

determined that food and drug items can be purchased and be issued to Students through Food

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Services and Student Health Services because the purchase is based on a fee, not on a direct sales process.

Although the Georgia Code Section 20-2-411 permits small value purchases by employees, Board

of Regents Policy [707.02] appears to prohibit this practice. “Employees of the University System shall not purchase goods or services through channels used in the purchase of goods and services for the operation of the University System.”

In addition to the obvious prohibition provided by the cited laws and regulations of buying goods

through State agencies for personal ownership, there has been a more subtle interpretation by

some institutions and other State agencies — a prohibition against buying certain goods and

services, the nature of which suggests that their end-use is more personal than official.

While it is

difficult to specifically define all such goods and services, the following list includes examples of

items that other institutions report having been denied for purchase, because the apparent end-use

is personal in nature:

Christmas decorations;

Cut Flowers;

Coffee makers;

Entertainment and/or refreshments;

Table Radios;

Watches, ground-breaking 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;

Greeting cards;

Food items, refreshments, and alcoholic beverages; and

Trophies and other awards for individual ownership except Service Awards provided by University policy.

905.07 UNIVERSITY RELATIONSHIP WITH SOURCES OF SUPPLY (VENDORS)

905.0701 State and University Policy

It is essential that the Procurement Office know of all sources of supply, and the qualifications of each, with respect to any given procurement action. In suggesting sources of supply for a specific procurement, however, it is better not to show an unknown supplier as “recommended vendor.”

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Members of the Procurement Office usually have more contact with the general business sector than most other personnel of the University. The desirability of good customer-vendor relations cannot be overemphasized. Personnel must therefore take extreme care to avoid even the appearance of favoritism toward any vendor.

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- A. In dealing with suppliers, the Procurement Office observes the following rules:
 - A. Giving each salesperson a full, fair and courteous hearing on any subject justified by the nature of his or her product and needs;
 - A. Declining to take advantage of a seller’s obvious errors, allowing a vendor to withdraw a quotation immediately if offered in error;
 - A. Keeping competition open and fair;
 - A. Insisting on receiving the best price first and holding the bidder to it, avoiding any appearance of auctioning the bid among vendors (This involves revealing to suppliers what other vendors bid.);
 - A. Keeping specifications fair and clear, and avoiding impossible or unnecessary specifications;
 - A. Showing consideration for the vendor’s difficulties, and cooperating with him or her whenever possible;
 - A. Avoiding the rejection and return of items for petty reasons;
 - A. Avoiding putting the vendor to unnecessary expense on return items; and A. Answering all vendor inquiries promptly.

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A. Departments/Units are also required to recognize and honor the above commonly accepted ethical

standards for purchasing in the public environment and should:

A. Indicate, as appropriate, their preference for vendor(s), recognizing that justifications for restriction of

competition to one vendor are usually futile (However, the preferred vendor(s) will receive requests to submit

quotations.); and

A. Treat suppliers with courtesy and fairness, while maintaining a firm and unyielding position with respect

to price, quality and service (consulting with the Procurement Office if compromises are being considered).

905.0702 Vendor Relations and Acceptance of Gifts

Relations with suppliers should always be kept professional. The integrity and independence of all parties should be paramount in such matters.

Section 802.14 of the Policies of the Regents of the University System of Georgia states:

“A member of the University System shall not accept gratuities, courtesies, or gifts in any form whatsoever from any person or persons, corporations, or associations that, directly or indirectly may seek to use the connections thus formed for securing favorable comment or consideration on any commercial commodity, process or undertaking.” Code Section 26-2301 states: “A person commits bribery when: (1) One gives or offers to give to any person acting for or on behalf of the State or any political subdivision thereof or of any agency of either, any benefit, reward, or consideration to which there is no entitlement with the purpose of influencing in the performance of any act related to the function of that office or employment; or (2) Acting for or on behalf of the State or any political subdivision thereof or any agency of either, there is solicitation or reception of any such benefit, reward, or consideration.”

Code Section 26-2308 states: “A person who enters into a contract, combination, or conspiracy in restraint of trade or in restraint of free and open competition in any transaction with the State or any agency thereof, whether said transaction be for goods, materials, or services, shall, upon conviction, be punished by imprisonment for not less than one nor more than five years. The crime of conspiracy in restraint of free and open competition in transactions with the State shall be complete when the contract, combination, or conspiracy is affected, and an overt act in furtherance thereof has been committed.”

905.0703 Conflict of Interest

Employees of Albany State University are prohibited from buying or selling transactions with the University. Extraordinary care should be exercised when the University does business with firms owned, in whole or in part, by family members or relatives of University officials. The Attorney General's Office has confirmed that employees of the Board of Regents (and, therefore, the University) are considered public employees and are required to comply with the disclosure provisions of the comprehensive conflicts of interest law [Code Section 45-10-(20-28)].

This law requires that all public officials and employees of the State, or any agency thereof, shall

reveal on or before 21 January each year, all transactions during the preceding year between the

State and the public official or employee or any business in which such official or employee or any

member of their family has a substantial interest. These provisions would include any arrangement

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with any other State agency yielding a financial interest to the employee, and include consultation

or contract arrangements to provide services. Exemption from these provisions is provided if the

individual transaction is less than \$250.00, and the aggregate total of all such transactions does not

exceed \$9000.00 in any calendar year.

The forms necessary to comply with a January 31 filing deadline, additional information, and

assistance in interpretation are available through the Office of the Vice President for Fiscal Affairs.

905.08 USE OF CONSOLIDATED PURCHASE AND TERM CONTRACT BUYING METHODS As directed by law, the DOAS Division of Materials Management has the policy of combining all

possible purchases. The cost of "piece meal" processing of purchases is substantial. The optimum

use of the State's purchasing power is to consolidate it in the marketplace as much as possible. In

times of short supply, an assured source of supply for the State may be more essential to its best interests than the price paid for the item. In these regards, the State will attempt

fully to use combined term contracts [State-wide and Agency (University)]; maintenance, service, lease and rental contracts; scheduled buys; central bulk stocking; and other modes of consolidation of purchases. [APM, Section VII]

Code Section 40-1906-1 states: “DOAS shall have the power and authority and it shall be the department’s duty subject to the provisions of this chapter to contract for the purchase of all supplies, materials, and equipment required by the State Government. After sources of supply have been established by contract under competitive bidding and certified by DOAS to the different departments, institutions and agencies of the State, such institutions, agencies, or departments of State shall make requisitions on blanks provided by DOAS for such purchases required by them from the supply so certified and except as herein otherwise provided for, or unless such departments, institutions and agencies of State obtain written authority from DOAS to do so, it shall be unlawful for them or any of them to purchase any supplies, materials or equipment from other sources than those certified by DOAS.

“It shall be the duty of the Director, Purchasing and Surplus Property Division to formulate, adopt, establish and/or modify standard specifications applying to State contracts. In the formulation, adoption and/or modification of any standard specifications, the Director, Purchasing and Surplus Property shall seek the advice, assistance and cooperation of any State Department, institution or agency to ascertain its precise requirements of a majority of the State departments, institutions or agencies which use the same in common. After its adoption each standard specification shall, until revised or rescinded, apply alike in terms and effect to every State purchase of the commodity described in such specifications. In the preparation of any standard specifications, the Director of Purchasing and Surplus Property shall have power to make use of any State laboratory for chemical and physical tests in the determination of quality. All rights, powers and duties heretofore devolving upon the standardization committee are hereby transferred to and vested in the Director, Purchasing and Surplus Property Division.”

Code Section 40-1907 states: “It shall be the duty of all departments, institutions or agencies to furnish when requested and on blanks approved by DOAS, tabulated estimates of all such items needed and required by the institution for such periods in advance as may be directed by DOAS, and it shall further be the duty to furnish DOAS inventory from time to time when requested by DOAS.”

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Code Section 40-1908 states: “DOAS shall compile and consolidate all such estimates to determine the total requirements for any given commodity.” Code Section 40-1914 states: “DOAS, after contracts have been awarded, shall certify to all units of the State Government the sources of the supplies and the contract price of the various supplies, materials, and equipment so contracted.” Code Section 40-1915 states: “After the sources of supply have been established by contract under competitive bidding and certified by DOAS to departments, institutions and agencies, such units shall make requisition on

blanks(i.e., Field Purchase Order forms), to be approved by DOAS, such items as required from the certified supply, and except as herein otherwise provided for, it shall be unlawful to purchase from any other source. One copy of the requisition shall be sent to DOAS when issued.”

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The State policy also makes it illegal to avoid State contracts and other modes of consolidated purchasing by either splitting requests or through buying an item multiple times. (APM, Section V, Page E2, Item 7 and APM, Section V, Page E4, Item 8.) It is the responsibility of the Procurement Officer to determine whether items could be projected or combined for more economical buying methods. (APM, Section V, Page E2, Item 4.)

The University policy is to request that Departments/Units plan their needs and consolidate Request

for Purchases for like items, and items of a similar nature and use that could be purchased from

comparable suppliers, so that larger purchases are made and result in a savings in processing time

and product cost.

905.09 REQUIREMENT TO PURCHASE FROM INDUSTRIES FOR THE BLIND, GEORGIA

CORRECTIONAL INDUSTRIES, SHELTERED WORKSHOPS, DOAS

CENTRAL SUPPLY Many items must be purchased from mandatory sources of supply. These are similar to contract suppliers except they are usually State or Federal agencies. These sources are discussed in the APM, Section X, Pages B1-B4).

Parts of the Purchasing Act concerning these sources are quoted as follows:

“All services provided or goods, wares or merchandise produced wholly or in part by the Georgia Correctional Industries and needed by the departments, institutions and agencies of the State and its political subdivisions supported wholly or in part by public funds shall be obtained from the Georgia Correctional Industries where such services, goods, wares or merchandise have been certified in writing by the Commissioner of Offender Rehabilitation with the advice and consent of the Department of Administrative Services as available and of competitive quality and price. Where not certified as available from Georgia Correctional Industries, services, goods, wares or merchandise shall be obtained from other agencies or activities of the State which are legally authorized to engage in the provision of such and have certified the availability with the advice and consent of the Department of Administrative Services.” (Code Section 40-1927) “All services provided or goods, wares, or merchandise produced wholly or in part by the sheltered workshops and training centers where availability of such services, goods, wares or merchandise has

been certified in writing by the Commissioner of the Department of Administrative Services as competitive. Where not certified as available from the sheltered workshops and training centers, services, goods, wares, or merchandise shall be obtained from other agencies or activities of the State which are legally authorized to engage in the provision of such and have certified the availability with the advice and consent of the Department of Administrative Services.” (Code Section 40-1927.1)

905.10 PURCHASES FROM OTHER STATE DEPARTMENTS The Purchasing Act permits the purchase of goods from other State Departments, institutions and agencies to be made without formal bid procedure. However, all such purchasing for the University

will be accomplished by or through the University Procurement Section. (APM, Section X, Page C1)

905.1001 Purchases of Government Surplus

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Within the University, the Procurement Section shall process all purchases of State and Federal Government surplus property.

Any Department/Unit of the University that acquires U.S. Government surplus property is

responsible for complying with the utilization and disposal restrictions imposed and enforced by the

Federal Government with respect to the acquired property. The Department/Unit is also responsible

for complying with normal State and University regulations regarding the disposal of property.

905.11 BIDS AND CONSIDERATIONS OF PRICE, QUALITY, AND SERVICE

905.1101 State and University Policy

Under the bid system of purchasing, price determines the award when all bidders are quoting on the same or acceptably substituted specifications. Quality and service must therefore be defined adequately in the bid invitation; failure to do so works in favor of the supplier.

Price depends on quality and service, among other factors. The degree of quality and the extent of

service contained in the specifications, therefore, should be no more than are required to accomplish the purpose for which the purchase is being made. Specifications of excessive quality

and service may force bidders to quote excessive costs to protect themselves against rejection for

failure to meet specifications. A brand that exceeds the specifications may be recommended.

Quotes will be requested on the required level of need and the recommended brand could be the low

bidder if the vendor offers a favorable price.

905.1102 Solicitation of Bids and Quotations

Some instructions received from the DOAS Division of Materials Management are listed below:

A. The splitting of requirements to avoid the dollar value limits for normal bid procedure is forbidden;

A. It is improper to sacrifice economy or competitive effect to achieve local vendor preference. Local

vendors must be held to the same standards of performance as all other suppliers;

A. Specifications must be held open for competitive sourcing;

A. Only the Procurement Officer or Buyers may designate the qualified vendors from whom bids will be

solicited; actual solicitation must be done by Procurement personnel directly under the control of the Procurement

Officer. (In all activities or functions related to purchasing, the designated Buyers are directly under the control of the

Procurement Officer, despite administrative assignment for any other functions performed by that individual.);

A. Although it is recommended that written bids be used, the Procurement Office may take telephone

quotes up to the dollar limitations of the delegated authority, if the proper written format is used, and the form is

signed by the person taking the quotes. For regular bids over \$10,000, it is University policy that written sealed bids

to obtain the vendor signature on a non collusion statement (APM, Section V, Page H3, Item 13). This procedure will

require not less than 10 days to conform to DOAS authority (APM, Section V, Page H2, Item 8). If value exceeds

\$50,000, additional time will be required to conform to legal constraints (APM, Section V, Page H2, Item 8);

A. If the request is for a "no substitute" item, the Department/Unit must attach a complete explanation to

the request. When a vendor is invited to bid on a requisition, it is assumed that the product is acceptable if it meets specifications. [APM, Section V, Page H7,Item g.];

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A. No one should recommend a higher bidder because of a preference for a particular vendor over another.

For consideration of such a request, a Department/Unit must have a sound and convincing written reason,

acceptable to the DOAS Division of Materials Management and attached to the requisition. Such a requisition

should not be submitted to the Purchasing Department until the Procurement Officer has agreed that the

recommendation is sound and appropriate; and

A. All levels of the Procurement process must make good faith efforts to involve minority business sources.

905.1103 Preference to Georgia Vendors

Parts of the Purchasing Act follow:

“It shall be the duty of the Purchasing and Surplus Property Division in the purchase of and in contracting for any supplies, materials, and equipment and/or printing to give preference as far as may be reasonable and practicable to such materials, supplies, equipment and/or printing as may be manufactured or produced in the State of Georgia. It being the intent of the section to use, in so far as is practicable, Georgia products and/or Georgia labor:

Provided, however, that in giving such preference no sacrifice or loss in price or quality should be permitted, and provided further that preference in all cases shall be given to surplus products or articles produced and/or manufactured by other State departments, institutions, or agencies which are available for distribution.” (Code Section 40-1903)
“The Purchasing and Surplus Property Division in awarding of contracts, all things being equal, shall give preference to local sellers of Georgia products when it is possible to do so and the interest of the State is not sacrificed, and the quality and prices permit it.” (Code Section 40-1920)

Effective September 1, 1990 the State adopted a Reciprocal Preference Law to be used with the above stated laws. This law is to be used when an out-of-State vendor is bidding against an in-

State vendor who is the second low bidder. Resident vendors must maintain a place of business

with at least one employee inside the State. The resident vendor will be given the same preference

to vendors who reside in another state in the same manner, on the same basis, and to the same

extent that preference is granted in awarding bids for the same goods or services by such other

state to its vendors. DOAS will maintain a listing of other states' preference laws and provide these

to agencies on an updated basis as it becomes aware of changes.

905.12 EMERGENCY PURCHASING

The DOAS Purchasing Manual indicates when the emergency purchase procedure should be used.

905.1201 Definition of Emergency (For Purpose of Emergency Procurement)

An emergency exists if it is likely that supplies, equipment, and/or contractual services cannot be obtained through normal processing means in time to avoid one of the following conditions:

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A. Academic, research, or technical personnel cannot perform significant activity in their field of endeavor

due to the lack of needed materials or services. (Departments/Units are responsible for planning and forecasting

needs such that this situation is avoided except in unusual cases.);

A. A machine, a set of apparatus, an electronic system, or other "hardware" malfunctions or breaks down,

ceasing normally necessary activity and/or leaving working personnel idle;

A. Circumstances result in extremely detrimental effects on the operation of University and State business;

and

A. A situation occurs in which the lack of materials or services may endanger the safety of any person, or

pose threat of serious damage to property, and where direct action will alleviate the situation. (In this situation, the

Procurement Officer need not be contacted until the emergency is over.) The professional judgment of a prudent employee acting in good faith should constitute adequate basis for this decision.

905.1202 Policy Statements for Emergency Purchases

A. A Department/Unit must initiate emergency purchases of materials or contractual services by bringing a

service request and proper justification to the Procurement Officer. In extreme situations, a Department can

telephone the Procurement Officer. Such purchases must be placed by the Procurement Officer unless specifically

exempted.

A. A letter of justification is required to accompany the Request for Purchase for an emergency purchase.

The emergency purchase justification should clearly comply with and conform to the definition above, and the

specific circumstances should be clearly stated. In unusual circumstances where the emergency Request for

Purchase is very large and/or complex, and time is available, the Procurement Officer will make written requests to

DOAS to include, as attachments, all relevant supporting information and documentation. Emergency requests of

this type, which are over \$5,000, must have the written approval of the President and the Vice President for Fiscal

Affairs. (APM, Section V, Page F3, Item k.)

A. Emergency purchase procedures are available for employees on duty outside the State or outside the

United States. A Department/Unit can contact the Procurement Officer for information. (APM, Section V, Page D11,

Items e. and f.)

A. Large or unusual emergency requests may require State approval by the Purchasing Section

Supervisor, the Assistant Director and the Director. The approval of the Commissioner of DOAS may also be

required at the discretion of the Director. In all cases, the issuance of an emergency authorization number to cover

the purchase, by the State Purchasing Agent, is required. (APM, Section V, Page F3, Item 3.)

A. It is the policy of the DOAS Division of Materials Management not to accept emergency purchase

justifications based on a need to use budgeted funds in time to avoid a budget lapse deadline. In the event of an

emergency situation during a time when the Procurement Office is closed, and the Procurement Officer cannot be contacted by the Department/Unit or the Public Safety Department, the concerned Department/Unit may proceed with the purchase. When the Procurement Officer is available, the Department/Unit will telephone him or her for further instructions. This procedure should be considered a measure of last resort, since such actions must be fully justified to the satisfaction of the State Purchasing Division.

905.13 SALES AND EXCISE TAXES

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Albany State University, as a unit of the State of Georgia, is exempt from payment of Georgia Sales

and Use Tax and Federal Excise taxes when using public funds.

State sales tax does not apply to sales to the United States of America, the State of Georgia, or any county or municipality of said State, provided purchases are pursuant to official

procurement to be purchased with public funds. The tax applies when such sales are made without

the required purchase order or are not paid from public funds.

905.1301 Hotel/Motel Tax

Only non-Georgia taxes may be reimbursed to an employee performing official travel.

Employees are required to complete a Hotel/Motel Tax Exemption Form for each location at which

they will stay during travel in the State, and to furnish the form to the hotel/motel. These forms are

available from Department/Unit secretaries or may be obtained from the Office of Fiscal Affairs. (See

Section 503.0302 of this Manual.)

905.1302 Exemption Certificates

Any Department/Unit official receiving a request for an Exemption Certificate for taxes should forward the request to the Procurement Office. The Request for Purchase to which the certificate pertains should be identified. **EXCEPTION:** Resale exemption certificates for merchandise purchased for resale by the Bookstore Services may be executed by the Manager of The Bookstore.

905.1303 Taxes of Other States

Generally, the University is not liable to pay State sales taxes of other states if the transaction is consummated in Georgia. However, the University is liable to pay taxes of other states if title passes in that state.

905.1304 Taxes on Petty Cash Purchases

Sales tax charged on petty cash purchases can be paid by the purchaser and reimbursement of the

sales tax will be made to the petty cash account by the University. The individual purchasing an

item with cash should attempt to avoid the taxes by informing the supplier that the items are for use

by Albany State University, a Unit of the University System of Georgia. To avoid the tax, the individual should use a purchase order when practicable.

905.1305 Taxes Chargeable to Agency Funds

Agency funds are not exempt from the payment of State and Federal taxes. These accounts begin

with 90 or 95 in the University Chart of Accounts. This is a requirement of Executive Order 1959-18

issued March 23, 1959.

905.14 PURCHASE OF ELECTRICAL EQUIPMENT

The voltage characteristics of all electrical equipment must be verified with Plant Operations Department before the writing of specifications for the purchase of this type equipment. The requesting Department/Unit will secure this verification in advance to avoid unusual delays or problems in installation of the equipment.

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Plant Operations personnel will not install, or allow to be installed, any electrical equipment that

does not have the correct voltage characteristics. The Procurement Department is responsible for

contacting Plant Operations Department to ascertain that adequate power exists within the building

or that power can be made available.

905.15 PURCHASE OF TAX-FREE ETHYL ALCOHOL The following policy is quoted from Section 711.04 of the Policies of the Board of Regents:

“The Chancellor of the University System is authorized to appoint a person or persons at each of the institutions of the University System to sign or issue all applications and other required documents pertaining to purchase, storage and use

of ethyl alcohol free of tax at the designated institutions of the University System and to do all other proper or necessary things in order that alcohol may be used at the institutions of the University System free of tax.”

At Albany State University, only the Department of Natural Sciences is authorized to purchase ethyl

alcohol for use of any area of the University.

905.16 EQUIPMENT MAINTENANCE AND SERVICE AGREEMENTS

The Procurement Office is responsible for centralized control of equipment maintenance contracts

and certain service contracts. He or she will maintain close liaison with manufacturers and suppliers of equipment and the using Departments/Units.

Maintenance contracts will be negotiated on equipment as it is acquired, and will be renewed annually on existing equipment, WHEN REQUESTED BY THE DEPARTMENT/UNIT. A common expiration date of June 30 has been established for all such agreements, when renewals will be accomplished for the coming year.

Additional contracts and/or service type agreements connected with this responsibility would include those concerning pest control, food service, lease renewals and agency supply contracts.

The Procurement Office will obtain maintenance contracts at the request of the Department/Unit

Head and will renew them with his or her authorization. This is not an “automatic” procedure. The

University will maintain a service call log on all items under maintenance agreements to determine

the value of the service. It is also the policy of the University to document and track service cost on

items not under service agreements to determine whether such agreements would be beneficial. The Procurement Office will maintain these service logs as detailed in the Procedures Section of this Manual unless a Department/Unit makes other arrangements with the Procurement Office.

905.17 COMMERCIAL ADVERTISEMENT IN STATE PUBLICATIONS By letter dated October 30, 1968, the Division of Materials Management stated the following:

“There being no law that specifically permits any Department or institution to accept or solicit advertisements from private individuals, firms, or corporations to appear in state publications paid for by state appropriated funds; it shall be the policy of this (State Purchasing) Department not to accept requisitions or write purchase orders for publications that contain advertisements from private individuals, firms, or corporations unless this policy is overruled by the law or by direction of the Attorney General.”

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905.18 NO-CHARGE PUBLICATION OR FILM CONTRACTS

Under State rules, Departments/Units cannot expend funds to produce, or have produced, any

publication in which commercial advertisements appear. However, a firm may produce a publication

concerning the University or having a use by the institution, solicit commercial advertisements to be

contained in the publication and provide, either gratis or with a percentage of the return, copies of

the publication to the University. Also, a firm may wish to produce a film concerning the University

with the intent of distributing the film for a profit and then remitting to the University a percentage of

return on that profit.

The Procurement Officer is responsible for negotiating all no-charge publication or film contracts with any firm interested in producing such publications or films to ensure that:

Whenever possible, such contracts are competitively bid with the award based on a percentage of return (if any) to the University; and The contract terms and conditions conform to legal and policy constraints, and are in the best interest of the University.

905.19 PURCHASE OR RENTAL OF PASSENGER AUTOMOBILES

905.1901 Authorization

The University is authorized to purchase, lease or otherwise acquire passenger automobiles on a use-by-use basis when requested by the President and approved by the Chancellor. (BR Policy 711.05)

905.1902 Automobiles for Campus Security Purposes

The University is authorized to purchase compact and/or intermediate sedans to be used exclusively for campus security purposes. (BR Policy 711.05)

905.1903 Charges for Use of University-owned Bus

Various Department/Unit activities requiring the use of a University-owned bus shall be charged at a

rate sufficient to cover all operation and maintenance expenses, and the replacement cost of the bus. (BR Policy 711.05)

905.1904 Trading Passenger Vehicles

Passenger vehicles may not be traded. (APM, Section X, Page L1, Item a.)

905.1905 Rental of Passenger Automobiles

Rental of passenger automobiles for official travel is the only authorized procurement of this service.

This policy is reflected in travel policies elsewhere in this Manual.

905.1906 Rental of Busses for Team Travel

Rental of buses for team travel is considered a travel expense similar to rental of a passenger vehicle for personnel travel.

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905.1907 Rental of Trucks

Trucks may be rented by Departments/Units for a specific need that must be clearly stated and justified in the Request for Purchase.

905.1908 Vehicles not Considered Passenger-carrying Automobiles

Vans, station wagons, and trucks are not considered passenger-carrying automobiles. (Vice Chancellor Memo dated February 15, 1980)

905.20 PURCHASE OF FURNITURE AND FURNISHINGS

The Board of Regents has established price standards for purchases of furniture and furnishings that

are effective in the following categories:

Class 1 Executive,

Class 2 Management, and

Class 3 Student.

These standards apply to Albany State University for all acquisitions funded by institutional funds. A

current list of these standards may be obtained from the Procurement Office.

Any exceptions to these standards must be approved by the appropriate personnel at the Board of

Regents Central Office.

In addition, the State has established contracts for many furniture items that are required sources for purchase.

905.21 PURCHASES OF PRINTING

Title 50, Chapter 18 of the Official Code of Georgia Annotated contains provisions related to State

printing and documents. The portions below are quoted from Section 1 and cover matters relevant to

the University:

“Each pamphlet, booklet, brochure, or other promotional publication printed by an agency or Department of the executive branch, except the ‘Farmers and Consumers

Market Bulletin' published by the Department of Agriculture, shall clearly show on its cover the number of copies of that particular publication printed, the approximate cost of such printing which shall be defined as the costs of the actual printing process including press time and paper, and a statement to read:

“APPROXIMATE COST OF PRESS TIME AND PAPER ONLY.’ “The approximate cost of such printing shall be provided by the agency or Department, based on estimates or other information provided by the private or public entity performing such printing.

“This article shall not apply to any publication that is required or established by statute or which has as its primary purpose to provide information or instruction to persons,

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corporations, or other entities regulated by, registered with, employed by, seeking employment with or doing business with the state.

“The Governor, through the Office of Planning and Budget, shall monitor compliance with this article and shall ensure that any agency or Department violating this article is notified of and corrects any reported or identified problems of noncompliance.” The Office of Logistical Services will obtain and supply cost/quantity figures. Printing to be performed by a commercial printer must include specifications for the cost/quantity statement.

905.2101 Printed Items Requiring Cost/Quantity Statement

The following are examples of the types of publications required to carry the cost/quantity statement

as prescribed above:

Publications designed for distribution to the general public at no charge;

The Albany State University Bulletin, Graduate School Bulletin, and other School or Division bulletins;

Publications designed to encourage individuals to attend Albany State University;

Public relations publications and periodic report publications; and Annual reports (unless distribution is entirely internal).

905.2102 Printed Items Not Requiring Cost/Quantity Statement

Following are examples of types of publications that would not be required to carry the cost/quantity

logo statement as prescribed above:

Any publication printed primarily for resale,

Instructional materials, including those used for conference programs,

Internal operating manuals,

Student Activity publications, and

Publications intended for distribution only to employees of Albany State University.

905.2103 Equal Opportunity/Affirmative Action Statement
Affirmative Action Plans as directed by the Board of Regents require that all
letterheads, application
forms, and order forms of the institution will carry the following statement:

“AN EQUAL OPPORTUNITY/AFFIRMATIVE ACTION INSTITUTION.”

This statement shall appear on all letterheads at the bottom of the page.

This requirement applies to printed items procured through Request for Purchases from
all sources.

The Department/Unit Head must be responsible for ensuring that the specifications for
orders for the

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above printed materials include both the Cost/Quantity Statement and the required Equal
Opportunity/Affirmative Action Statement.

905.22 PROCUREMENT USING FEDERAL FUNDS

Once Federal funds of any type have been granted, appropriated or awarded to
Albany State University, they must be expended according to State laws,
regulations, and the like as promulgated by the Division of Administrative
Services and, thus, according to the policies and procedures of this Manual.
No distinction is made by DOAS between State funds and Federal funds
concerning procurement.

906 (NOT USED)

907 PROCESS FOR PURCHASING

907.01 REQUEST FOR PURCHASE PROCEDURES

907.0101 Time to Use

WHEN USED: A Request for Purchase is required for the purchase of
supplies, materials, contracted services and/or equipment. It is made by
completing a Request for Purchase Form (Exhibit 907.0101-1).

WHEN NOT USED: Routine travel expenses must be processed under
travel regulations. A Request for Purchase may not be used for travel costs
such as gasoline, lodging, or per diem.

Prior approval of all travel according to Section 503 of this Manual,
indicating availability of funds, is

required for authority to travel, or advanced payment of travel fees,
whether for individual employee or

team/group travel. The Fiscal Affairs Office provides necessary
information and forms for approval

and reimbursement. Items charged to Personal Service Categories of the budget must not be ordered on a Request for Purchase.

907.0102 Route and Distribution

The originating Department/Unit should forward to the Office of Fiscal Affairs the completed Request

for Purchase, signed by the Head, or his or her official designee, indicating availability of budgeted

funds. (One copy should be retained for Department/Unit records.) The Head, with the assistance of

the Procurement Office, is responsible for obtaining appropriate signatures for special approval

items or services detailed in Section 905.0501 of this Manual. If any question exists concerning the

availability of funds, or if a budget amendment is necessary, the Request for Purchase will also have

the approval of the appropriate Dean or Director, and if necessary under prevailing circumstances,

the signature of a Vice President.

Originating Departments/Units will receive file copies of all Requisitions and Purchase Orders

prepared by the Procurement Office. Departments/Units should receive their copy of the State

Requisition at approximately the same time that the DOAS Division of Materials Management

receives the original State Requisition. It normally takes three to five weeks from the time the DOAS

Purchasing and Supplies Division of Materials Management receives the request until the Purchase

Order is issued. It is important that no vendor be contacted by University Departments/Units before

the actual receipt of the Purchase Order. To do so could jeopardize the bargaining or competitive

bidding position of the University or the DOAS Division of Materials Management. Any contact of

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this nature originated by the supplier should be promptly reported to the Agency (University)

Procurement Officer (Tel. No. 430-4632).

907.0103 Classification of Requisitioned Items

An individual form is required for each service requested, and/or for goods and services from each anticipated vendor or source. If unlike items are included on the same request, it would require splitting an order between vendors and thereby unnecessarily complicating filing and follow-up inquiries and an orderly audit procedure. Even when it is anticipated, or suggested, that a general merchandise source (such as Sears) will be requested to bid, like items should be grouped on separate requests. All Request for Purchases should be limited to items that can be supplied by one vendor. For example, printing and house paint should not be combined on one request, for one vendor cannot bid or supply both items and split orders will result. Quotations will be requested from both specialty suppliers and general merchandise suppliers.

907.0104 Preparation of Request for Purchase Form

907.010401 Completion

The following descriptions and instructions provide a guide for the initiating Department/Units to use in completing the Request for Purchase Form (Exhibit No. 907.0101-1). The Sample Form has been coded with letters (A) through ® to identify the procedures coded below with the matching letters on the form:

(A) Enter the date that the Request for Purchase is prepared;

(B) Enter the Department/Unit name and location (building name, room number, etc.) where the requested order will be delivered;

© Enter the eighteen digit account number (or numbers) code(s) to which the purchase is to be charged; if an order is to be charged to more than one account, then type “split charge” above the account number section and show the percentage or dollar amount to be charged to each account in the margin beside each account number. If an item is to be charged to more than one account and if there is more than one item listed on the Request for Purchase, indication must be made in the Description column of the form as to the percentages (or dollar amounts) to be charged to each account and the respective accounts identified. If an item is to be charged to more than one account and there is only a single item on the form, the percentages (or dollar amounts) may be shown in the margin beside each account number as described above for “split charge” of an entire order. In either case, “split charge” should be typed above the “Account Number” section;

(D) Enter any known vendor(s) - name, address, phone number, etc. - having in the past supplied this item, having this item available, or being desired for bid solicitations;

(E)-(H) Leave for completion by Fiscal Affairs and Procurement Offices;

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A. Assign and enter a number in sequential order to each item requested. Items that constitute a set,

and are purchased for a specific price for the set, are considered as a single item. The individual components of the

set are to be listed in the description section under the item;

(J) Enter the Georgia Commodity Code (GCC Number) for each item ordered. The GCC Number has two groupings or divisions. The three digit prefix identifies the class, and the four digit suffix categorizes the purchase; Items requested on each order must have at least the same three digit class code. If the ordering Department/Unit does not know the appropriate number, it should telephone the Procurement Office for assistance;

(K) Enter a complete (but brief) description of the items requested, i.e., color, units per package, manufacture, stock number, etc. Often it is helpful to show both the manufacturer and the manufacturer's model number to assist in identifying the specific item being requested. (Vendors' catalog numbers can be misleading and should not be used unless absolutely necessary; then the name of the vendor not the manufacturer, if different - and the vendor's catalog number must be given.) The unit of packaging needed (six per case or 100 lbs. per bag, for example), when applicable, should also be noted. If the entire description(s) cannot be fitted into the space provided, the Department/Unit must use a second form or continuation page with the statement "See the attached Continuation Form (or page)" typed at the bottom of the description section;

(L) Enter the Quantity needed and specify the unit of measurement, such as 10 pounds, 10 each, 1 job, 3 boxes, 24 sets, etc. When using units such as box, set, or case, the Department must be sure that the number of units per box, set, or case, has been specified in the description;

(M) Enter the estimated cost (price) of each unit shown in the Quantity & Unit Section. Departments/Units may get unit prices from catalogs or price lists that are usually furnished by vendors, from records of past purchases, or by calling the Procurement Office which will consult files maintained there. The unit price must correspond to the unit described in the Description Section and in the Quantity & Unit Section;

(N) Enter in the Total Price Section the extended price (unit price multiplied by quantity) for each item requested; if shipping costs are beyond this amount, then list Shipping & Handling as a separate item and show the estimated cost in this column also; and enter the summation of all amounts in the Total Price column at the bottom in the space marked "Grand Total";

(O) Enter name of the Department/Unit placing the order; and

(P) Affix the authorized signature of the Department/Unit Head. All five copies (a set) of the Request for Purchase must bear the true handwritten signature of the signee. If the Request for Purchase includes the use of Federal grant or any other Federal funds to purchase one or more items, the following sections are to be completed:

(Q) Enter the Federal grant number and/or title to which the order is to be charged and ® Obtain the approval signature of the Director of Institutional Advancement.

907.010402 Procedures for Numbering and Filing Requests for Purchase

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Each Department/Unit will assign a number in sequential order to each Request for Purchase submitted. It must enter this number in the space coded as (S), "Requisition No." This sequence of numbers should be started over with the first Request for Purchase of each fiscal year. The Department/Unit is responsible for maintaining a file of all Requests for Purchase submitted by the

Department/Unit.

907.010403 Special Authority Approvals

If special authority approvals, as outlined in Section 905.05 of this Manual, are required for items

such as electronic data processing equipment, telecommunications items, records management

requirements, University publications, or for other special types of items, the Department/Unit Head

is responsible for working with the Procurement Office in making this determination and in obtaining

such approvals and/or signatures prior to submitting officially the Request for Purchase to the Procurement Office. The Department/Division Head must indicate such approvals on the Request for Purchase and/or copies of the approved documents attached to the Request for Purchase.

907.010404 Budget Authorization

The Department/Unit Head or his or her official designee is authorized to expend budgeted funds

following the provisions of this Manual. If funds are not available or are not adequate to make the

purchase, the Department/Unit Head or his or her official designee is responsible for obtaining

approvals of the appropriate Senior Administrator and/or Vice President(s) so that the proper Budget

Amendment can be made.

907.010405 Time Required for Purchase and Delivery

Under normal circumstances the Department/Unit should allow three to four weeks for bids to be obtained and for the Purchase Order to be issued, and additional time for the vendor's delivery. Processing time normally takes longer for orders over \$2500 or for orders requiring State DOAS review.

An indication on the Request for Purchase or with an enclosed letter stating a date is needed earlier

than that normally expected by routine processing will alert the Procurement Officer to contact the

requesting Department/Unit for discussion. This procedure should not be necessary, or even

expected, except under very unusual circumstances and should be sought by the requesting

Department/Unit for only items that could not be properly and adequately scheduled and planned for

under normal conditions.

If an item is required to continue research work and is appropriately labeled "RESEARCH" on the front of the Request for Purchase, then special processing procedures will be used.

907.010406 Special Delivery Instructions

If the delivery point is not certain, if the individual requesting the item wants to inspect it at Central Stores before acceptance, or if a specific individual is to sign accepting delivery, instructions such as "call when received," "call for inspection," "call (name) before opening package," etc. would be appropriate for inclusion on the Request for Purchase.

907.02 DISPOSITION OF COPIES OF REQUEST FOR PURCHASE

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The requesting Department/Unit must submit five copies of the Request for Purchase to the Office of

Fiscal Affairs, which, after appropriate approvals, sends them to the Procurement Office for processing. After final approval of the Request for Purchase, copies of it along with other appropriate Procurement documents stapled to copies of the Request, are distributed by the Procurement Office as follows:

Yellow (Procurement Office Copy),
Pink (Accounting Office Copy), and
Blue (Ordering Department's Copy).

The Procurement Office files a copy of the Request in the Office's Departmental Request File.

907.03 (NOT USED)

907.04 DEVELOPMENT OF WRITTEN SPECIFICATIONS

907.0401 General Procedures

In general, one goal of purchasing in the public sector is to ensure that all suppliers are given the

opportunity to provide the goods and services to be purchased while protecting the interests of the

University. The accepted practice to achieve this goal, in the public purchasing environment, is to develop specifications for the items being purchased. Buying proper quality depends upon (1) having proper specifications/descriptions from which to work; and (2) comparing merchandise received against the specifications.

907.040101 Description of Appropriate Specifications A good specification should be:

As simple as is consistent with exactness, but sufficiently specific that no loophole will allow any bidder to evade the requirements and thereby take advantage of either competitors or the buyer. A Specifications Matrix should be provided when the technical details are sufficient to warrant.

Capable of being met by several sellers, when possible, without a major sacrifice in overall quality or functionality;

Identifiable, when possible, with some brand or specification already on the market although it should not be written to exclude comparable brands;

Capable of being checked. When applicable, it should describe the method of checking which will govern acceptance or rejection. A specification that cannot be checked is of little value, and methods vary in accuracy;

Reasonable in its tolerances while ensuring that minimal requirements are met; and As fair to the sellers as possible.

907.040102 Content of Specifications

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A specification is no more than an accurate description of the merchandise to be purchased. There

are many kinds of specifications, including the following or a combination of them:

Brand or trade name and make,

Blueprint or dimension sheet,
Chemical analysis or physical properties,
Description of materials and methods of manufacture,
Description of purpose or use (function),
Identification with specifications known generally to the trade and to the seller, and
Sample.

907.0402 Specifications for Equipment Purchases Over \$10,000

The DOAS Division of Materials Management has established a method (called a “specifications

matrix” or “market survey table”) to determine minimum specifications for equipment purchases and

acceptable brands that meet these minimum specifications. Such a matrix is not required for

technical equipment specifically designated for research. Instead of a matrix, the originating

Department/Unit may specify two brand names “or equivalent.” When using the matrix method, the

ordering Department/Unit must list in the Request for Purchase all desired options, required performance characteristics, and special features.

907.0403 Specifications for Equipment Purchases Under \$10,000

Albany State University complies with the DOAS recommendation that “Although the preparation of

a matrix is not required for equipment under \$10,000 value, all Agency (University) Procurement

Officers are encouraged to make use of this technique whenever possible.” (APM, Section IV, Page

12)

907.0404 Brand Preference

Preference for a particular brand (no substitute) usually is insufficient reason for restricting the

purchase to one brand, unless the preference can be supported by objective written justification. As

such, accurate specifications will usually ensure that Department/Unit requirements of function and

quality are met by the brand of product offered by a supplier.

The requesting Department/Unit must provide a “NO SUBSTITUTE” justification with the Request for

Purchase. This will allow the Procurement Office to seek bids from appropriate sources. Such justifications are most easily accepted when the

differences between the preferred brand and substitute brands are proprietary and easily measurable (e.g., easily related to the purpose of the purchase). Several possible reasons (from the APM) for “no substitute” are listed below:

Components of a major assembly;

Compatible items to be added to an existing system;

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Compatibility with substantial parts inventory or service capability and/or service capabilities;

Physical design characteristics to satisfy aesthetic requirements; and

Matching and intermembering with preponderance of existing equipment, *e.g.*, office or school furniture.

On occasion a “SOLE SOURCE” vendor preference justification, as described in the next section, must be included with a “NO SUBSTITUTE” justification.

The Procurement Office must know the brand preference involved on any order even though justification may not be included. This will allow the Office to request quotations from various dealers who sell that brand, and from other dealers. If the specifications contain a brand name, it will be assumed that the preference has been stated. If the specifications do not contain a brand name, the Office will contact the requesting Department/Unit to obtain that information.

907.0405 Vendor Preference

A preference for one vendor, not necessarily to the exclusion of all other vendors, should be

indicated on the Request for Purchase. Reasons for the preference need not be shown. Such

preference may be shown by naming the vendor in the “Known Supplier” blank. Any reasons for this

preference should be included in the specifications. The Procurement Office will select a supplier if

it is aware of a supplier who offers lower prices at the same level of service. The requesting

Department/Unit must provide in advance or attach to the request for purchase any justifications for

“SOLE SOURCE” vendor preference. Justifications for restriction of competition to one vendor are

usually invalid. The State's position is that the competitive bid process if properly implemented will

determine whether other suppliers can provide the requested items. The Procurement Office will request quotations from the recommended vendor along with others that deal with the requested items. Such justifications should not be confused with brand name justification that requests "NO SUBSTITUTE" as opposed to "SOLE SOURCE." The justifications are most easily accepted when

the level of service provided is not available from another source. Several possible reasons (from the

APM) for "Sole Source" are listed below:

Compatible items/components to be added to an existing system;

Only source for classroom instructional material. (The Procurement Office will verify this with the manufacturer.)

Compatibility with substantial parts inventory and/or service;

Unable to determine cost until equipment is dismantled (Sometimes the repair could be bid by other suppliers after dismantling);

Only source/manufacturer for control of experimental research variables;

Used nearest and best repair: service charge involved for estimate on repairs;

Parts and repair available only from manufacturer or their representative in a protected territory

(The Procurement Office will verify this with the manufacturer.); or

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Only local source available for commodity and/or services.

(APM, Section V, Pages I9 and I10)

907.0406 Bids

For requests over \$2,500.00 the University is required to invite or solicit at least the minimum

number of quotes or bids shown in APM, Section V, Page H1, Item 2. from firms that routinely sell

the type of product being requested. If "no substitute" is justified, then the Procurement Office will

attempt to find three bidders who sell the brand being requested. Currently the local authority to

purchase is limited to \$10,000.00 by DOAS. This limit applies to all items not listed in the Agency Procurement Manual on pages V, Page D3 through D11 as Special Purchase Authority or Exempt.

907.05 FIELD PURCHASE ORDER FORM

907.0501 Definition

The field Purchase Order form is a document authorized by the State of Georgia DOAS to establish a contractual relation between the University as an agency of the State and the vendor or second party. (Board of Regents Business Procedures Manual, Volume I Revised, Section III-6)

907.0502 Minimum Data Required:

Current Date,
Request for Purchase Number,

Other data as prescribed and displayed by the official Purchase Order issued by the State Supervisor of Purchases in conformity with “Laws, Rules and Regulations Governing Purchasing for the State,” and Authorized signature(s).

907.0503 Purpose of Field Purchase Order (FPO)

The Field Purchase Order form is used for two purposes. First, it is to provide the University

Procurement Office with a document, required and approved by DOAS, to place orders with vendors.

The form is for use only by the University Procurement Office of the Logistical Services Office and is

necessary for that office to maintain control of the procurement authority and process at the

University. (Note: This procedure is not to be used to pay for hotel/motel rooms, food, transportation

[including passenger vehicle rental for travel and bus rental for team travel], and registration fees when these items are associated with an Authority to Travel procedure. (See Section 503 of this Manual.)

Second, it is the document required for use in the Board of Regents accounting system to provide the Financial Operations Department with the necessary information for encumbering obligations against Department/Unit budgets.

The Procurement Office will use the form under the following two general circumstances:

Where purchases are exempt from State Purchasing Control, and

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Where State Purchasing has granted specific or general permission for placing orders directly with vendors.

Generally, the Field Purchase Order form will be used instead of a State Purchase Order. When a

Department/Unit initiates a Request for Purchase and sends it to the Procurement Office, the

Procurement Office will determine whether the University has the authority to place an order with a

vendor without going through the State Purchasing Department. If the University has the authority

to purchase directly and there is an advantage to doing so, the Procurement Office will complete a

Field Purchase Order form, with the original copy going to the supplier. When a Purchase Order is

issued, the University Procurement Office will send a copy to the individual or Department/Unit

initiating the Request for Purchase. The Office will send an additional copy to Central Stores where

it will be used as the document to check quantities, color, size, type, and other specifications readily discernible by a lay member. At the time the completed order is received, this copy will be signed by the person in Central Stores who checks the materials, and by the person to whom the materials are delivered. This copy is then forwarded to Accounts Payable Section for processing and payment of invoices.

907.0504 Procedures for Completing Field Purchase Order (FPO)

The following descriptions and instructions provide a guide for Procurement Office personnel to use

in completing the Field Purchase Order Form. (See Exhibit No. 907.0504-1.) The Sample Form

shown has been coded with letters (A) through (P) to identify the procedures coded below with the

matching letters:

(A) The date the FPO is issued;

(B) The name and complete address of the vendor (company) from whom the purchase is to be made;

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A. The date for the delivery of the order or the expected number of days that delivery is to be made after the

receipt of the purchase order;

- (D) The time of payment for goods received, with usual terms being “NET 30 DAYS”;
- (E) The Department/Unit (and building, room number, etc.) where items will be delivered;
- (F) Numerical listing of items ordered;
- (G) The Georgia Commodity Code for each item ordered (The code is broken into two sections, the three-digit prefix, which identifies the class, and the four-digit number that categorizes the purchases.);
- (H) A brief description of the item, color, manufacture, units per package, and the like;

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A. The quantity and unit of measure for each item: 1 each, 1 job, 1 set, and the like;

- (J) The unit price, if two or more units of an item are ordered;
- (K) The extensions for columns (I) and (J) and the **GRAND TOTAL** for the order;
- (L) The name of the Procurement Officer;
- (M) The Purchasing Automated Manual System (PAMS) Vendor Code assigned to all vendors registered through State Purchasing. (State Purchasing provides a periodic list of all State Approved Vendors and the commodities that these vendors want to sell to agencies, institutions, etc. of the State of Georgia. This list will indicate whether the company is a “small” or “minority” firm and what level of dollar amounts the company is willing to bid with the State. The PAMS Vendors Code is taken from this list.);
- (N) The Audit Categories of the FPO, a summary of which follows:
 - Mandatory Source - Used only for FPO, release orders for goods purchased from Central Supply Services, Industries for the Blind, Georgia Correctional Industries or Sheltered Workshops;
 - Statewide Contract Release - Used for FPO release orders from a Statewide contract. These are the contracts listed in the statewide Contract

Index. The current correct contract number must appear on the FPO issued to release an order from that contract;

Agency (University) Contract Release - For FPO release orders from an open Agency (University) contract. These are the term contracts issued only for a specific Agency (University) or group of Agencies by DOAS Division of Materials Management and are not indicated in the Statewide Contract Index. These contracts are for a specified period but do not specify definite delivery dates and release quantities for the term period; otherwise, the purchase is considered an open market purchase order transaction. The current correct contract number must appear on the FPO issued to release an order from that contract;

Agency (University) Field Term Contract - Used for FPO release orders that establish a term contract for goods or services;

Special Purchase Authority - Used for Agency (University) purchases which are specifically delegated by item to the Authorized Purchasing Officer for field purchasing authority. The specific Special Purchase Authorities are listed in the Department of Administrative Services Division of Materials Management Agency Purchasing Manual (APM), Section V (D);

SVA-NB Purchases - Used for small local purchases, each of which is under \$2,500 in value. This Category is not for items covered by P&S contracts or items available from mandatory sources such as Central Supply, Georgia Correctional Industries and Industries for the Blind. It is neither for items that could be projected and combined for more economic buying methods nor for items categorized and covered by another FPO category of a higher order precedence. When batching

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FPO's under this category, it is required that they be batched in subcategories, each with a separate batch sheet, as listed below:

SVA-NB (Minority Business Enterprises) - (a) owned by a member of a minority race or (b) a partnership of which a majority of interest is owned by one or more members of a minority race or © a public corporation of which most of the common stock is owned by one or more members of a minority race. A member of a minority is defined as an individual who is a member of a race that comprises less than 50 percent of the total population of the State of Georgia;

SVA-NB (Small) - Business with fewer than 100 employees or less than \$1,000,000 in gross receipts per annum;

SVA-NB (Small & Minority) - Business in both categories;

SVA-NB (Other) - Vendor neither small nor minority owned;

SVA-CB PURCHASE - Used for small local purchases, each of which is \$2,500 or more but less than Agency's (University's) SVA limit. This category is not for items covered by P&S contracts or items available from mandatory sources. It is not for purchases of convenience, the result of previously uncorrected reordering procedures, nor common use and recurring items that could be projected and combined for more economic buying methods. This category is not for items categorized and covered by another FPO category of a higher order precedence. This SVA cannot be used to avoid any special approval authorities. These purchases are competitive and evidence of competition must accompany the record copies;

Emergency Purchase - Any agency may handle emergencies up to their SVA-CB Authority. Bids should be taken and all necessary emergency justification attached. Emergency local purchases that are within above stated limits are purchased by SVA-CB and are so categorized;

For Emergencies over the University's SVA, the appropriate State Purchasing Agent (SPA) must be contacted for an authorization number. The authorization number must appear on the FPO covering that emergency purchase;

Agency - For purchases made from agency funds;

(Only one audit category of each Purchase Order may be used.);

(O) The geographic code that identifies the destination county of the order.
The GEO Code for
Albany State is 095; and

(P) A recap of the Purchase Order number, notes, and other data added to the
Purchase
Order.
907.0505 Distribution of Field Purchase Order Copies

When the Field Purchase Order is completed and signed, it is distributed as follows:

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Vendor's copy or the white copy is mailed to the vendor or sent to the Financial Operations Department;

Permanent file or yellow copy is retained and filed in the Procurement Office;

DOAS-P&S or green copy is held for the monthly audit report;

Accounts Payable or pink copy is sent to the Financial Operations Department;

Central Stores or buff copy is sent to the Central Stores Division;

Originating Department/Unit or blue copy is returned to the requesting Department/Unit;

and Receiving Report or gold copy is sent to the originating Department/Unit, the Financial Operations Department, or the Central Stores Division, depending on where the order will be shipped.

907.06 PURCHASE PROCESS FLOW CHART

A flow chart of this Field Purchase Order process as diagramed in the Board of Regents Business Procedures Manual has been reproduced as Exhibit No. 907.06-1. A flow chart of the Standard Purchase Order process has been reproduced as Exhibit No. 907.05-2.

907.07 PURCHASE ORDER CHANGES AND CANCELLATIONS

907.0701 Purpose

Although each Request for Purchase and Purchase Order may be prepared and written with care,

occasionally it is necessary to amend the original order because of change in quantity,

specifications, price, substitute products or any number of other reasons caused by changing plans

or requirements.

Because changed orders alter an existing contract, they can be issued only if according to State

and University policy, and with the consent of the Vendor. Normally when the relationship between

the University and Vendor is satisfactory and because most changes are minor in nature, they can

be made without any question of penalties being invoked or demanded by the vendor; however, a

requesting Department/Unit must remember that such changes do require the vendor's agreement

and consent since the Purchase Order is a contract.

It is sometimes possible to force a change or cancellation upon the vendor who values the University as a customer without the University bearing any of the expenses incurred; however, such action is usually unethical and ill-advised.

The University's policy is that Departments/Units of the University shall NOT make, or discuss with

any agent or supplier, any changes to an order processed by the Procurement Office. All such matters must be directed in writing to the Procurement Officer who, in consultation with the Department/Unit Head, will adjudicate in the best interests of the Department/Unit and the University.

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A Purchase Order cannot be corrected to change the supplier except in those cases where the supplier may have changed its name designation.

907.0702 Purchase Order Corrections

907.070201 Notice of Difference on the Receiving Report

By appropriate notation on the Receiving report, the Central Receiving function of Central Stores must indicate any difference between the delivered merchandise and the purchase order, contact the person specified in the Delivery Section of the Request for Purchase form, and enter in the Receiving Report whether he or she accepts the difference. The Procurement Officer will automatically take action to determine whether a change order is necessary. Neither the Central Receiving function of Central Stores nor the Department/Unit concerned is authorized to make any change. The Department/Unit Head will be required to give written authority when it is necessary to change by \$100.00 or more the monetary amount of an order. The Procurement Officer will issue the appropriate Field Purchase Order Correction (FPOC). If the change results in a monetary change of less than \$100, acceptance of the substitute will constitute Department/Unit approval.

907.070202 Notice to the Agency (University) Procurement Officer

A request for a change in an existing order must be made with consultation/approval of the initiating Department/Unit Head and the Procurement Officer. Depending upon the situation, the Procurement Officer will determine the action that should be taken. The Department/Unit Head will be required to give written authority when it is necessary to change by \$500 or more the monetary amount of an order. The Procurement Officer will issue the appropriate Field Purchase Order Correction (FPOC). If the change results in a monetary change of less than \$500, verbal authorization from the Department/Unit Head and subsequent acceptance of the items will constitute departmental approval. By inter campus memo, the Procurement Office will notify the Central Receiving function of Central Stores and the Financial Operations Department of these small changes. Multiple changes to an order that cause the order to exceed either the \$500 or the locally authorized bid and purchase limits will not be processed.

“No Field Purchase Order Correction shall exceed the original Agency (University) Procurement Officer authority nor result in the total purchase transaction exceeding the Agency (University) Procurement Officer authority.” (APM, Section V, Page G2 Item e.)
Note: Substitution of brand name and/or model, or delivery of an item not exactly as called for on the order, must be processed through the Procurement Officer.

907.0703 Purchase Order Cancellation

By written notification to the Procurement Office, the Department/Unit Head must indicate all

requests to cancel an order, including a request to change the supplier. DOAS policy requires that

all cancellations of orders be processed on Purchase Order Correction Forms so that the contract offer to the supplier is officially and legally withdrawn. The Procurement Office, when an order is returned as unacceptable from the supplier, will automatically pursue a change of supplier.

907.0704 Procedures for Preparing a Field Purchase Order Correction (FPOC)

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Corrections to Field Purchase Orders are sometimes required to resolve significant differences

between orders and invoices (deliveries). The Agency (University) Procurement Officer determines

whether a correction to a previously issued Field Purchase Order is necessary. (APM, Section V, Page G1, Item 1.)

(Note: The Authorized Purchasing Officer has the latitude to issue corrections when not required by State policy [as listed below], if he or she decides it is in the best interest of Albany State University, or is required by internal procedures.)

According to guidelines, the Purchasing Officer can process corrections:

When the Field Purchase Order grand total increases or decreases by \$500.00 or more. The cumulative total of all FPOC's issued to an order should not exceed 20% of the grand total of the original FPO;

When the specifications of the item delivered are not the same as the Field Purchase Order specifications (a material difference), a Field Purchase Order Correction is required. In such cases, the Agency (University) Procurement Officer must assure that the changed specification meets or exceeds the original specification;

When the vendor's name is not essentially the same on the invoice and the Field Purchase Order, a Field Purchase Order Correction is required ;

When an item or items on a Field Purchase Order are canceled or when the entire Field Purchase Order is canceled, a Field Purchase Order is required. In such cases, proper documentation is required; and No Field Purchase Order Correction will exceed the original authorized Purchasing Officer's authority nor result in the total purchase transaction exceeding that authority. (APM, Section V, Page G1 and G2)

Information for typing the Field Purchase Order Correction is generated from the original Field Purchase Order as follows (See Exhibit 907.0704-1 which is coded to correspond to the following designations [A]-[M].):

(A) Albany State University;

(B) Field Purchase Order Correction Number - Consists of the original 12 digit Purchase Order Number, the double digit split award code and the double digit purchase order correction code. EXAMPLE: 521-001-000000-01-03;

© Date the correction is typed;

(D) The original Field Purchase Order number;

(E) Vendor name and address;

(F) Albany State University,

Business Office,

504 College Drive,

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Albany, GA 31705;

(G) The date the original purchase order was typed;

(H) Agency code,

Vendor ID code,

Geographic designation code,

Audit category code number;

A. Check of the appropriate box: amended, canceled or renewed;

(J) A brief explanation for the correction;

(K) GCC code and description taken from the original purchase order; and (M) The authorized Purchasing Officer's name and title.

907.0705 Distribution of Copies of a Field Purchase Order Correction (FPOC)

First white copy to the vendor,

Green copy to State Purchasing & Supplies Division with the monthly audit report,

Blue copy (Department/Unit account copy) to the ordering Department/Unit,

Second white copy (Department/Unit account copy) retained and stapled to the Procurement

Office's copy of the Purchase Order,

Yellow copy (Procurement copy) retained for files,

Pink copy sent to the Accounts Payable Section, and

Gold copy (agency copy) sent to Central Stores Division.

907.08 RECEIPT AND INSPECTION OF SUPPLIES AND EQUIPMENT

907.0801 Receiving Goods and Services

Central Stores and the requesting Departments/Units are responsible for receiving and inspecting

supplies and equipment. (See Section 914, Central Stores (Receiving) Procedures, of this Manual

for more specific information and procedures.)

907.0802 Return of Merchandise

A Department/Unit must never return to the vendor or carrier any ordered merchandise without first

obtaining permission and shipping instructions from the Procurement Office. For complete

description of procedures for handling return of merchandise, the Department/Unit should refer to the

Central Stores (Receiving) section of this Manual (Sections 914.0105 and 914.0114).

907.09 DELIVERY

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To ascertain the status of a Request for Purchase before a Purchase Order is issued, a Department/Unit must contact the Procurement Office. After the Purchase Order is issued, the

Department/Unit may contact the Buyer in the Procurement Office who signed the order, to obtain

delivery information. When the Procurement Office contacts a supplier, the Office must document

the conversation in Office records. This record should include the date and time of the call along

with the name of the person contacted a summary of the questions asked and the response received. The Office must furnish the inquiring Department/Unit the information originally requested.

907.0901 Delivery Expediting

Delivery expediting is the attempt to improve or change the existing delivery lead time of a given order. This process could result in increased costs to the Department/Unit. Therefore, it must make no effort to alter a delivery date without consultation with the Procurement Office.

907.0902 Delivery Follow-up

Delivery follow-up is the routine process of notifying the supplier that the previously estimated delivery lead time has expired. In such a situation the Procurement Office normally takes action

only upon Department/Unit request since most orders do not require action to be taken.

However,

the Procurement Office is interested in knowing whenever a supplier is chronically deficient in

meeting estimated delivery times. The Procurement Office will consider this factor in requesting

bids for future purchases. If the requesting Department/Unit does not believe that delivery is being

accomplished in a reasonable and timely manner, it should make a written inquiry to the Procurement Officer. This will establish a reference file. Any history of Department/Unit contacts with the supplier should be included with the inquiry.

For those purchases that are processed by Central Stores (Receiving), an automatic delivery follow-up will be made without a request from the Department/Unit. Should the Department/Unit require delivery earlier than quoted or promised, the Procurement Office will attempt to expedite delivery.

907.0903 Purchase Order Follow-Up

To request an explanation for the delay in shipping, completing or non delivery of an order, the

Procurement Office must complete a Purchase Order Follow-up form. See Exhibit No. 907.0903-1

which is coded to correspond to the following letters (A) - (H):

(A) Date form is submitted,

(B) The blank section - the vendor's name and address,

(C) Purchase Order No. - Purchase Order number of orders delayed or not completed,

(D) Invoice No. - The vendor's invoice number of the shipment in question, if available,

(E) Date - Date of the Purchase Order in question,

(F) Amount - the amount of the Purchase Order,

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(G) Compliance with Requests Checked Below - Appropriate boxes are checked. The last box should be checked with the notation "A copy of the Purchase Order is attached," and (H) Sender - name of the Procurement Officer.

907.090301 Distribution of Copies of a Purchase Order Follow-Up Form

Yellow copy is attached to the yellow copy of the related Purchase Order (Procurement Files);

White copy and pink copy are mailed to the vendor; and

Two copies are Xeroxed. One is sent to the Accounting Department and the second is sent to Central Stores.

907.0904 Inquiries Related to Charges to Budget Expenditures and Payment to Suppliers

Inquiries related to budget charges or supplier payment for a given transaction should normally be

directed to the Financial Operations Department. The Departmental Expenditure History Report will

normally answer many of these questions. Departments/Units are urged to use the listing of

accounting codes from the Departmental Expenditure History Report and those included as Exhibit

306-1 of the Manual to identify properly the budget line to be charged on the Request for Purchase. Before submitting a request, a Department/Unit can contact the Procurement or Financial Operations Office to help clarify any questions.

907.10 PURCHASING ACTIONS (FORMS) NOT PERFORMED BY THE ORDERING DEPARTMENT/UNIT

In response to a request and/or need for supplies, materials, equipment, services, etc. by a

Department/Unit the University's Procurement Office and/or the State's Department of Administrative

Services, Materials Management Division will initiate and/or process certain official purchasing documents.

907.1001 Request for Quotation

Whenever the policies, procedures, regulations, and similar concerns of the State and the University

permit local purchases by the University following the provisions of this Manual, the competitive bid

process mandates, usually, that quotations be obtained, generally a minimum of four (4). In these situations a Request for Quotation form is processed to obtain the required quotations. Exhibit 907.1001-1 is a sample Request for Quotation and has been coded with letters (A) through (J) to identify the procedures coded below with the matching letters on the form. The Department/Unit must:

- (A) Enter the name and address of four or more vendors from which quotations are to be requested. (Additional forms may be used as continuation sheets.);
- (B) Enter the current date;
- (C) Enter a return date (usually a date that allows for ten [10] working days);

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- (D) Assign and enter a number in sequential order to each item to be quoted.
Items that constitute a set, and are purchased for a specific price for the set, are considered a single item. The individual components of the set are to be listed in the description section under the item;
 - (E) Enter the Georgia Commodity Code (GCC) for the item and the name and description of the item. See items (J) and (K) of Section 907.010401 of this Manual for more information about codes and descriptions of items to be quoted and/or purchased;
 - (F) Enter the Quantity to be quoted and specify the unit of measurement, such as 10 pounds, 10 each, 1 job, or 24 sets. When using units such as box, set, or case the Department/Unit must be sure that the number of units per box, set, case has been specified in the description; and (G)-(J) Leave blank all items and all blanks below the double line near the bottom of the page for completion by the vendor.
907.100101 Distribution of Copies of the Request for Quotation Form
The Procurement Office will ensure that:

Two (2) copies are mailed (or hand delivered) to each vendor solicited for quotation;

Original is stapled to the Department's/Unit's Request for Purchase and retained in the Request for Quotation File in the Procurement Office. The Request for Purchase (with Requests for Quotation forms attached) is processed when the quotations are received; and After a review of the bids, a Xerox set is made. The original is placed with the permanent (yellow) copy of the Field Purchase Order and the Xerox copy is placed with the DOAS (green) copy of the Field Purchase Order.
- 907.1002 Purchase Requisition
When the policies and procedures of this Manual (and DOAS) require that requested items be

procured by the State Purchasing Section of the DOAS Division of General Services, the University

Procurement Office will issue a Purchase Requisition Form (State).
This is a two (2) part form
consisting of the Purchase Requisition and the Bid Continuation Sheet.
The Purchase Requisition
form (with its Bid Continuation Sheet) is completed as follows and as
shown on the "Sample" form

attached as Exhibit 907.1002-1:

BILL TO: (as shown on sample form);

REQUISITION NUMBER: This number is always a twelve (12) digit number that contains the DOAS assigned University code (521); the number "002" which indicates that this is a State order; and six digits (sequential numbers) assigned by the Procurement Office from its Purchase Requisition Number Log;

REQUISITION DATE: Use the current date that the requisition is typed;

DESTINATION POINT: (As shown on the sample form);

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PAMS VENDOR NUMBER: These numbers may be obtained from microfiche of Vendor Numbers provided by the DOAS .

SUGGESTED SUPPLIER AND VALIDATED AMOUNT: This information is obtained from the Request for Purchase submitted by the ordering Department/Unit;

SIGNATURE: The Procurement Officer always signs the Purchase Requisition; and **BID CONTINUATION SHEET:** The items completed by the University are: **LINE ITEM, GCC ITEM AND DESCRIPTION, QUANTITY AND UNIT, REQUISITION NUMBER, PAGE NO., and AGENCY** (Albany State University). Additional detailed information for completing these sections may be found in Section 907.010401 of this Manual. **ALL OTHER ITEMS OF THE PURCHASE REQUISITION (INCLUDING THE BID CONTINUATION SHEET) ARE COMPLETED AT THE DOAS LEVEL AND/OR BY THE VENDOR.**

907.100201 Distribution of Copies

The Purchase Requisition is prepared in sets of three (3) and the Bid Continuation Sheet in sets of

four (4). The Procurement Office will distribute as follows:

Original set is sent to DOAS with two (2) sets of Bid Continuation Sheets, One set is retained in the Procurement Office, and One set is sent to Central Stores (Receiving).

907.1003 State Purchase Order

The preparation and processing of the State Purchase Order form are accomplished only by the

Department of Administrative Services, General Services Division, State Purchasing Section. The

information for this type of procurement is obtained from the Purchase Requisition submitted by the

University. Other items for the form are provided at the DOAS level. A "Sample" form is attached as Exhibit 907.1003-1.

907.100301 Distribution of Copies

Vendor copy is mailed to the Vendor by State Purchasing (DOAS).

Four (4) sets are mailed to the University where they are distributed as follows:

One copy to the Accounting Office,

One copy to the ordering Department, and

Two copies to Central Stores.

In addition two (2) sets are Xerox copied. One (1) set is retained in the Procurement Office and one

(1) set is sent to Inventory Control (if equipment is purchased).

907.1004 State Purchase Order Correction Form

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A State Purchase Order Correction form is processed to resolve significant differences between orders and invoices. The Procurement Office will prepare, process and monitor all forms required.

The Procurement Office will do the following in preparing a State Purchase Order Correction:

Use the Purchase Order Correction number including the assigned purchase order number plus a "-0-1" if this is the first correction; if it is the second correction, a "-0-2", etc.;

Use current date the correction is prepared;

Use vendor's name and complete address;

Use agency's [University's] complete address, including "Procurement Office";

Take from the original purchase order these codes: agency [University], vendor ID, GEO, buyer and type of purchase;

Check the "amended" box if changes, additions or deletions are being made. Check "canceled" if the entire order is being canceled;

Give brief but detailed reason(s) for the changes taking place;

Use the description section to show what changes are being made;

Note whether changes involved addition or subtraction;

Indicate always the name of the State Purchasing Agent who prepared the original order; and Mail the complete seven part form to State Purchasing, keeping a file copy in the Procurement Office.

907.1005 Minority Procurement Report

The Procurement Office compiles summary information on bid opportunities and dollars awarded to all vendors and to minority vendors quarterly and submits this summary to DOAS. See sample form shown as Exhibit 907.1005-1.

The Minority Procurement Report involves five (5) categories:

Small value authority - competitive bids,
Special authority,
Emergency purchases,
Professional services, and
Construction.

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The five categories are totaled for the following data:

Total bid opportunities,
Total vendors solicited,
Total minorities solicited,
Total bids received, and
Total minority bids received.

907.100501 Distribution of Copies

The Procurement Office submits the Minority Procurement Report to State Purchasing, General Services Division, Department of Administrative Services in Atlanta, Georgia by the 15th of the month following the end of each calendar quarter. The Office also submits a copy of the Minority Procurement Report to the Small and Minority Business Liaison, Albany State University and maintains a copy in the Office.

907.1006 Monthly Agency Batch Transmittal Sheet

The Procurement Office batches the DOAS copies of the seven (7) different categories of Field Purchase Orders issued during the preceding month and completes the Monthly Agency Transmittal Sheet(s). See Exhibit 907.1006-1. This report is due the 15th of each month.

General procedures include the following:

Separating the Field Purchase Order Forms (green copies), for the month's purchases, by the seven (7) categories listed on the Field Purchase Order;

Checking each purchase order in each category for codes (GCC and vendor);

Checking for supporting documents (if required);

Totaling each category; and

Completing the form(s).

907.11 PROCEDURES FOR FILING AND KEEPING RECORDS OF PURCHASING

DOCUMENTS

It is recommended that all Departments/Units maintain a file of their own purchasing documents.

The white copy of the Request for Purchase should be retained in the Department/Unit. If a Field

Purchase Order is written, the Department/Unit will receive a copy of the order. If the request

requires a State Purchase Order, the Department/Unit will receive a copy of the State Requisition

and a copy of the State Purchase Order when it is written. (These documents will be forwarded to

the Department/Unit specified in the delivery section of the Request for Purchase.) In any memorandum or inquiry to the Procurement Office, the Department/Unit should refer to the

Requisition or Purchase Order number. For information on long-term or permanent storage of these

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and other records, the Department/Unit should read the Records Management Section (700) of this

Manual.

907.12 CONTROL OF PURCHASE ORDER NUMBERS

The Agency (University) Procurement Officer will ensure that systems and procedures are always

developed and implemented that will maintain absolute control over the numerical sequence of

Purchase Orders (all types) and the manner in which a Purchase Order is voided. All voided

Purchase Orders will be maintained on file with documentation as to date, reason for voiding,

circumstances of further transactions of the purchase and other pertinent information. ***IN NO CASE***

WILL VOIDED PURCHASE ORDERS BE DESTROYED.

907.13 STATE OF GEORGIA PROCUREMENT CARD

907.1301 Purpose

The 1996 revision of OCGA 50-5-69 effectively eliminated the requirement for competitive bidding on purchases of supplies, materials, and equipment under \$2,500 not available on state contracts or through statutorily required resources. This revised statute authorized the Department of Administrative Services (DOAS) to establish a procurement card to effectuate such purchases.

This contract provides for use of the NationsBank Visa Purchasing Cards and associated services

to support official State Government purchases. The NationsBank Visa Purchasing Card is

intended to streamline payment procedures and reduce the administrative burden associated with

traditional and emergency purchasing of supplies, materials, and equipment under the current small

value purchase.

907.1302 References

STATE OF GEORGIA, Purchasing Card Program, Contract Guide SWC 60695, rev. 12/26/96.

Purchasing Card Policies and Procedures Manual, -Pilot Program-, March, 1997, State of Georgia,

Department of Administrative Services.

NationsBank VISA Purchasing Card ACH Payment Implementation Guide, Revised 9/15/95 VisaNet Merchant Data Standards Handbook, July 13, 1995 Albany State University, Purchasing Card Program Policies and Procedures. (See Section 908.12 of this Manual.

908 PURCHASING PROCEDURES AND GUIDELINES

908.01 PURCHASES BY CONTRACTED AND CONSOLIDATED SOURCES OF SUPPLY

908.0101 Definition

There are various methods of consolidated purchasing available to combine several small orders into a larger volume order and to expedite the placement of orders. Listed below are a summary and brief description of the most common types of consolidated purchasing procedures routinely used by the State and University Procurement authorities:

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908.010101 Agency Contract-Open

A supply contract issued by the DOAS Division of General Services covering specific items for a

specific period and at a predetermined price(s). No funds are encumbered and there is no minimum

or maximum quantity limitation. Deliveries against this type contract will be made only upon the issuance of a Field Purchase Order by the Procurement Office to the vendor;

908.010102 Agency Contract-Fixed Quantity

A supply contract issued by the DOAS Division of General Services covering a specific item for a

specific period in exact quantity at predetermined price(s). The Department/Unit may place verbal

releases against this type of contract on an “as needed” basis. Funds are encumbered against the

account of the Department/Unit requesting the contract for the total cost at the time the contract is awarded;

908.010103 Field Contract-Open

A supply contract, similar to an Agency Contract-Open, issued by the University and covering exact

items and a specific period. No funds are encumbered, and there is no minimum or maximum

quantity limitation. Deliveries against this type of contract will usually be made only upon the

issuance of a Field Purchase Order by the Procurement Office to the vendor. This type of contract

can be used only for items that are either “audited authority” or “exempt” from DOAS regulation;

908.010104 Field Contract-Fixed Quantity

A supply contract, similar to an Agency Contract-Fixed Quantity, issued by the University and

covering exact items for a specific period at predetermined price(s). The Department/Unit may

place verbal releases against this type contract on an “as needed” basis. This contract can only be

used for items that are either “audited authority” or “exempt” from DOAS regulations. Funds will be

encumbered against the requesting Department/Unit for the total amount of the contract at the time

it is awarded;

908.010105 Scheduled Buy

The periodic consolidated purchasing by the DOAS Division of General Services, of an item or group

of items for various State Agencies. Funds are encumbered when a State Purchase Order is issued;

908.010106 Statewide Contract

A term contract for all State Agencies normally for one year with one or more vendors for specific

items or category of items, usually where the exact use is indeterminate. State Agencies are generally required to purchase from Statewide Contracts. Deliveries against this type of contract will

be made upon issuance of a Field Purchase Order by the Procurement Office to the vendor. Funds

are encumbered against the Field Purchase Order; and
908.010107 Indefinite Delivery Contract Release

A standing release issued in writing by the Procurement Officer to the Department/Unit against an Open Contract (Sections 908.010101 and 908.010103 of this Manual). This release authorizes the

Department/Unit to call for the contract items on an "as needed" basis. The release will be governed

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by the terms of the Open Contract. This authority will be used only for releases against contracts (e.g., sod, concrete, and food) used by a single Department/Unit.

908.0102 University Use of Open Contracts and Fixed Quantity Contracts

There are advantages to be gained from methods of purchasing by use of combined volume, either

for a one-time delivery or for an extended period. On the other hand, there are certain disadvantages.

Advantages:

Lower prices,

Shorter purchase lead time, and

Enhanced communication with and response from suppliers in resolving problems.

Disadvantages:

User required to accept a degree of standardization,

Problems possibly having widespread effects, and

Preparation of contract terms and specifications usually more time and effort consuming than single purchases.

In general two types of contracts exist in the State system: Open and Fixed. To establish either type of agreement, two requisites exist:

The University or the requesting Department/Unit must accept some degree of standardization, and The specifications must be so written that the contract can be priced on a firm itemized basis.

Either type of buying arrangement will usually improve the University's position as to price and delivery time. Therefore, the use of these contracts is encouraged wherever they are feasible and advantageous to the University.

In certain commodity areas, the DOAS Division of General Services establishes supply contracts for

the State as a whole. Many of these are listed in Section 908.0103 of this Manual. The University is required by law to use these contracts unless it receives written permission from DOAS to take exception to a contract (APM, Section V, B1, Item 5.). Only funds held in an agency capacity by the University are exempt from the regulations. All Department/Unit Heads with authority to approve

expenditures of budgeted funds should be familiar with items covered by these contracts. A Department/Unit should contact the Procurement Office if it is unsure about whether an item is covered under contract.

University Departments/Units should contact the Procurement Officer for assistance in determining

the most suitable and efficient consolidated purchasing method to use in meeting a particular requirement.

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908.0103 Items Available on Contract

Some items for which there are currently contracts include:

- Office Furniture,
- Paint,
- Automotive parts and batteries,
- Paper products,
- Paper plates and cups,
- Copiers,
- Photographic supplies,
- Dictation Equipment,
- Printed Forms,
- Scientific supplies,
- Electric lamps (bulbs),
- Microcomputers, peripherals, and supplies,

Typewriters,
Vehicles,
Mimeograph and spirit duplicators,
Audio and Video Tape, and
Office supplies.

908.0104 Agency (University) Contracts Not Discretionary

The contractual relation of a Agency (University) Contract is just as binding as that of a Statewide Contract upon the contracting Agency (the University). (APM, Section V, Page C1, Item 7.)

908.0105 Exceptions to Statewide Contracts

Where contract terms and conditions permit, and rights and liabilities of vendors are properly

provided for, the DOAS Senior Purchasing Agent may grant exceptions to contracts, allowing

purchases outside of existing contracts, for justified reasons of agency ability to pay, cost, delivery

time, compatibility with existing agency situations, or special valid needs not covered by existing contracts, standards, or specifications. (APM, Section V, Page B2, Item 7.)

908.02 EMERGENCY PURCHASING PROCEDURES

908.0201 Procedure to Request

A Department/Unit can request emergency orders by bringing a completed Request for Purchase and a letter of justification for the emergency, and as necessary any “sole source” and “no substitute” reasoning, to the Procurement Officer.

908.0202 Procedure to Place an Emergency Order (Walk-Though Process)

Before the Procurement Office can act, the Department/Unit must provide all pertinent data as to

the vendor, material needed, quantity, type, related information, the date needed, and a justification

for the emergency so that the Procurement Office can explain the situation to State Purchasing.

The justification should clearly fit within the framework of the definition provided in the policy section

of this Manual, under the heading “Emergency Purchasing” (Section 905.12). The Department/Unit

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must state specific circumstances, including the end use of the requested material or service. The

Procurement Office will then attempt to obtain some competitive sourcing, if possible, and will place

the order after receiving approval from DOAS. (APM, Section V, Pages F1 And F2)

In extreme situations, the Department/Unit may telephone the Procurement Office. Such purchases

must be placed by the Procurement Officer unless specifically exempted. For emergency orders

requested by telephone, the first items needed from the Department/Unit are a Request for

Purchase Number taken from the Request for Purchase Form to be used and the Department/Unit

account number.

After a telephone order is placed, the Procurement Officer will telephone the Department/Unit Head

and provide, along with other pertinent information, the name of the person approving the emergency

order. The Department/Unit will then submit a Request for Purchase with the following notation in capital letters in the body of the order:

“EMERGENCY ORDER ALREADY PLACED - DO NOT DUPLICATE.
SEE LETTER OF
JUSTIFICATION DATED _____, ATTACHED.”

The Department/Unit must attach to the Request for Purchase a typed letter, in triplicate, explaining

the need for placing the order on an emergency basis and including details about why normal processing would not have been adequate. The Procurement Officer will furnish any needed information, assistance and sample letters.

(Note: The steps and detail necessary in this procedure should in no manner constrain the Department's/Unit's prompt and decisive action when, in its best judgment, the safety of a person or property is endangered.)

In cases of large emergency needs (\$5000.00 or more) and IF TIME PERMITS, State Purchasing

may request submission of written documentation of the circumstances before granting its approval

for any emergency purchases.

In any situation where the Department/Unit judges it necessary, it should immediately contact the

Procurement Officer and the Vice President for Fiscal Affairs. If these individuals cannot be reached

by telephone, the Department/Unit should contact the University Public Safety Office which will locate them any time of day or night.

908.03 PURCHASE OF SERVICES, REPAIRS AND RENTALS

908.0301 General Guidelines for Service Contracts

Except for contracts for professional services as listed in the DOAS Agency Purchasing Manual,

the Department/Unit must request all service contracts and orders on a Request for Purchase form

sent to the Procurement Office, which will issue a contract after appropriate action has been taken.

Competitive bids will be obtained where feasible, as determined by the Procurement Officer.

All service contracts NOT regulated by DOAS between the Board of Regents (or its authorized

representative) and a private contractor will require Board approval and will be implemented by the

Vice Chancellor for Fiscal Affairs. Unless otherwise provided by Board Policy, all major construction

contracts entered into by the Board of Regents will require prior approval by the Board. (Board of Regents Policy Manual, 709.01.)

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908.0302 Equipment Maintenance Agreement

908.030201 Procedures for Requests

The Procurement Office canvasses all Departments/Units each year to determine items to be

covered. Annually the Procurement Office will survey each Department/Unit of the University to

determine items to be continued on maintenance contracts for the next year. Based on this survey

information, the Office will take action and assess charges to the Department/Unit budget in July of

the next academic year. In order for this renewal system to function as effectively as possible, it is

requested, to the maximum extent possible, that all renewals or new contracts be scheduled to terminate June 30. Regulations of the State Purchasing Division require that no maintenance agreement be issued for a period exceeding one year. A Request for Purchase must be processed

to cover any maintenance contract not initiated by the Procurement Office.

If the maintenance contractor has provided a standard contract form, it should be attached to the

Request for Purchase. The contract form should include the following information (The Request for

Purchase must contain the information identified by asterisk.):

Signature of contractor and date signed;

*Beginning and ending dates of the contract (The Procurement Office attempts to have all maintenance contracts end on June 30 to keep fiscal year expenditures in the same year as the Purchase Order issue date. No agreement should begin before the expiration of the equipment warranty. The Department/Unit Head should maintain records of warranty information on all equipment acquired);

*Description of the item or items covered by the agreement with name, model number, serial number, and University Inventory Control number if applicable;

*Cost per month, quarter, or other period and total dollar value of the agreement. This may be estimated if no contract form is attached); and Number and frequency of inspections and/or service with full details of the services to be performed. The agreement should specify whether both parts and labor are included, and any exceptions to total coverage.

*(This information should be provided on the Request for Purchase if the contractor does not furnish a standard contract form.)

The maintenance contract form, or any materials related to it, should NOT be signed by the requesting Department/Unit.

If the contract form is not attached to the Request for Purchase, the Procurement Office will obtain

the contract. If the item has previously been covered by a maintenance contract, the previous

contractor and contract number should be included. The Procurement Office will provide a copy of

the contract to the Department/Unit Head after the Purchase Order has been issued.

908.030202 Payment Procedures

The Department should forward to the Procurement Office with the Request for Purchase Form any

contractor's invoice for a service agreement the Department/Unit has received. In any instance

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where advance payment is required, payment will be made upon receipt of the contractor's invoice

by Accounts Payable. No receiving report will be furnished to the Department/Unit in cases where total advance payment is made. Instead the Procurement Office will sign the Receiving Report to indicate that the contract has been negotiated as requested by the Department/Unit.

The Procurement Office will authorize payment for routinely scheduled service calls under the terms of the Purchase Order issued, unless the Procurement Office is notified by the

Department/Unit of inadequate performance by the contractor. The Department/Unit Head is

responsible for ensuring that the contractor properly provides all the services being paid for under

the agreements. After the Procurement Office transmits an executed copy of a new or extension

agreement to the Financial Operations Department with a Field Purchase Order, periodic payments

will be made, citing the Field Purchase Order number.

908.030203 Maintenance of Service Call Log

All calls for service under service agreements must be placed through the Procurement Office. In

order to comply with audit requirements, it is necessary to maintain a log of service calls both to

document that the service agreements are actually fulfilled and to help determine the cost-benefit

relationship of the contract. The Department/Unit should report to the Procurement Office when the

service has been satisfactorily performed. A cost-benefit analysis for items covered by service agreements will be conducted to determine the necessity of maintaining such agreements on various categories of equipment. The Procurement Office should also be notified when scheduled service is completed so that the records can be documented. For repairs to items not under a service contract, the Procurement Office should also be notified so that a log for cost-benefit analysis can be prepared and maintained.

908.0303 Equipment Rental

For procedural purposes, rental of equipment is categorized in two ways: as short-term (rental of

three months or less) and as leases (rentals of more than three months). Although leases or rentals may contain a purchase option with credit accruing as payments are made, it is not normally permitted by State Purchasing to issue agreements that automatically transfer title to the University at the final payment. These transactions are considered lease/purchases and can be negotiated ONLY by State Purchasing for periods of one to five years. All normal leases and rentals must expire by June 30 since the University CANNOT commit funds for the following fiscal year.

Leases cannot be divided into multiple short term leases to circumvent these procedures.

908.030301 Short-Term Equipment Rental

Short-term equipment rentals must be initiated by Request for Purchase when either the total

expenditure will be more than \$500 or if the vendor requires a signed agreement of any type. (This

does NOT include the agreement form for a less than 7 day rental. A copy of this type agreement form is to be included with the Request for Purchase.) If no signed agreement is required and the total is \$500 or less, the Request for Purchase procedures must be used.

Industrial gas cylinder tank rental (demurrage) can be paid as either a yearly charge or as a monthly

payment for the specified term of the rental agreement.

908.030302 Lease Agreements

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Equipment rentals over a three-month period must be requested by processing a Request for

Purchase form following normal purchasing procedures. The Department/Unit will state the term

required for the lease (up to a maximum of five years) with the first year term scheduled to expire on

30 June of the current fiscal year. If the lessor has provided its standard rental agreement form to

the requesting Department/Unit, this form should be attached to the Request for Purchase. After

processing, a contract number will be assigned and copies of the completed contract will be sent to

the lessor and to the using Department/Unit. Payment for the rented equipment will be made after

proper acknowledgment of receipt of the equipment by the Department/Unit, which must notify the

Procurement Office promptly of any equipment problems that would require a hold on payment or a

need for negotiation of payment.

908.030303 Rental or Lease of Electronic Data Processing (EDP) or Computer Related Items EDP equipment leases and purchases require approval by the State Electronic Data Processing Committee before being purchased. See the Special Approval Purchases Section of this Manual, Section 908.1004. The Department/Unit should contact the Procurement Office for additional information.

908.0304 Real Estate Rentals

The Office of Logistical Services is responsible for processing, through the Board of Regents and

DOAS, requests for real estate rentals. The request should be by letter through the appropriate

Vice President and should include a statement of purpose, expected duration, source of funding,

general description of needed real estate, and the rental rate. An explanation of justification for the

request should be attached. Any new agreements MUST expire on 30 June of the current fiscal year.

Real estate rentals should be planned and requested well ahead of the proposed occupancy date. Normally, renewals will be initiated and negotiated four (4) months before the June 30 termination date.

908.0305 Rental of Conference Facilities

Before any commitment, whenever the situation permits, a Department/Unit must use normal Request for Purchase procedures for short-term rentals of facilities for use in holding official seminars, conferences, workshops, or other meetings. However, a Department/Unit, with proper budgetary authorization, may commit for the rental on either a charge or personal cash basis. In such cases, a Request for Purchase must be submitted for payment to the vendor or for reimbursement of the Department/Unit.

A Department/Unit must not pay gratuities (e.g., coffee breaks, refreshments, meals, banquets,

tips, etc.) in connection with the rental of conference facilities, unless payment is to be made from a

restricted account in which a contract, grant, or similar agreement specifically authorizes an

otherwise prohibited purchase, or from a University account not subject to State restrictions. The

Department/Unit must discuss any questions concerning these expenditures with the Procurement

Office before making any commitment. Alcoholic beverages may not be purchased with any University held funds.

908.0306 Professional Services

Requests for professional service contracts require the prior approval of the President or a Vice President. Contracts with architects require approval of the Board of Regents.

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A professional service contract is defined as any contract or commitment, oral or written, that engages a business firm or individual(s) (other than a State of Georgia employee) to perform professional services for a fee. Such professional services must involve highly skilled judgment, ability, experience or training, artistic taste, or other attribute that is dependent for its quality upon the characteristics and knowledge of an individual(s) and cannot therefore be standardized and competitively bid. Services considered as professional are listed in the DOAS Agency Purchasing Manual as follows:

Accounting Services (by CPA firm),
Architect Services,
Chiropractic,
Dentistry,
Professional Engineering,
Land Surveying,
Legal Services,
Medical Services,
Optometry, and
Psychology

All other services are not considered professional and, therefore, should be requested by Request

for Purchase for bidding. The Department/Unit should note that professional service contracts must

not include furnishing materials or a significant number of nonprofessional services to the University.

If any material goods or a significant number of nonprofessional services are to be furnished by the

professional individual or firm because of the contract, the initiation of the contract should be processed by the Procurement Office under normal purchasing procedures.

Unless sufficient justification for “sole source” is submitted with the Request for Purchase, the items will be bid.

908.0307 Price Increases During Contract Term

If a contractor communicates with a Department/Unit concerning a price increase, such communication should be forwarded to the Procurement Officer. If the increase occurs during the

contract term it will be permitted only if specific provisions for increases are included in the terms of

the contract. The contract can, however, be canceled and a new contract negotiated if that action appears in the best interests of the University. Specific regulations concerning such actions are included in DOAS Division of General Services Manual.

908.0308 Disputes

The Department/Unit must notify the Procurement Officer when disputes exist between two parties

of the contract and in all cases where the service company is deemed not to have fulfilled the terms

of the contract.

908.0309 Early Termination of Contracts

If a Department/Unit determines that an agreement should be terminated, it should provide written

notification to the Procurement Office. Such notification should provide an explanation of the reasons for termination and the Department’s/Unit’s understanding of any conditions related to termination. If the contract provides for termination, the Office will process the request and bill the incurred costs to the Department/Unit.

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908.0310 Repairs

Authorization to obtain repair of University owned equipment by commercial service firms, where the

equipment is not covered by an annual maintenance agreement, should be requested in a particular

manner:

908.031001 Use of the Request for Purchase Procedure

The Department/Unit must forward a Request for Purchase to the Procurement Office in the usual

manner, listing such essential data as manufacturer, type of machine, model number, serial

number, location and the nature of the problem and indicating recommended vendor. If this is a request for "sole-source," the Department/Unit must attach justification and forward the Request for

Purchase according to Section 907.01 of this Manual. Either after receipt of an approved estimate from the Department/Unit, as described in the following paragraph, or upon receipt of the Request for Purchase showing a "reasonable, not to exceed" repair authorization total, the Procurement Office will issue a Purchase Order for the repair.

An item to be shipped for repair should be packaged as described in the Central Stores (Receiving)

Section of this Manual. Central Stores (Receiving) will be directed to pick up the item on its next

scheduled delivery. (The Department/Unit may deliver the item to Central Stores [Receiving

Function].) Upon receipt of the estimate from the company as requested in the letter, the Department/Unit Head should forward the estimate, with action recommended, to the Procurement

Office. After issuance of the Purchase Order, the Procurement Office will make all contacts with the vendor.

908.031002 On-Campus Repair Services

Certain microcomputers, audiovisual equipment, video equipment, and other such equipment are

repaired in the Warranty Repair and Maintenance Section of Plant Operations. Problems with these

types of equipment should be referred to this Department before sending a Request for Purchase to

the Procurement Office.

908.031003 Maintenance of Property Location Records on Items Removed for Repair
The Department/Unit must exercise care to maintain records of items removed from the Department/Unit for repair. Since equipment is inventoried in the Department/Unit and is the responsibility of the Department/Unit Head, the Property Control Section of Logistical Services Department should be notified any time inventoried equipment is removed from campus.

908.04 PURCHASE OF PRINTING SERVICES

908.0401 Definitions

The printing services function usually begins at the point that edited copy and finalized charts and/or

other art work are ready. Printing services include:

Preparation of previously edited copy, including justification of columnar margins, by typesetting on hot type or cold type equipment;

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Preparation of the medium from which the actual printing impressions will be made, including engravings, blocked typeface and photographically produced printing plates of paper, metal or other substance;

Production of impressions by means including letterpress, mimeograph, multilith, offset and blueprint or copying machine; and Such services as cutting, binding, folding, stapling, collating, packaging and other after-impression services.

908.0402 General Procedures

All requests for printing by commercial firms must be processed through the Procurement Office. A

Request for Purchase form must be completed and forwarded according to Section 907.01 of this

Manual. There are various State government sources for printing which will eliminate the bid time for

items not available through word processing and copy services on campus. It is recommended that

the Department/Unit contact the Procurement Office to ascertain on-campus capabilities before deciding to have items printed at an off-campus location. Custom printed computer and snap-out forms are available on State contracts.

Any job less than \$2,500, requested by a Department to be printed off campus, should first go

through the Procurement Office for an estimate and guidance. Should the Department/Unit then

decide to pursue off-campus sources it should obtain at least two estimates of cost for comparison. However, these estimates must not be communicated between sources in an auctioning type manner considered unethical in public purchasing practices.

Any job of \$2,500.00 or greater, that a Department/Unit wants printed off campus, must be

submitted on a Request for Purchase to the Procurement Officer for bidding. Departments/Unit

should be aware that printing jobs of \$2,500 or greater, if done off campus, must be routed through

DOAS for accomplishment by DOAS Printing Services in Atlanta, or to obtain formal release if DOAS chooses not to do the job.

DOAS specifications require that all photographs, plates, negatives, art work, and copy be the property of the University and be returned to the University with the

printing. The cost for these items is to be included in the printing cost quoted by the commercial firm. Departments/Units should reclaim these items when they receive the completed work.

Albany State University policy (not related to the procurement function) requires that certain printed

materials have the approval of the University Public Relations Officer. It is the **RESPONSIBILITY OF THE REQUESTING DEPARTMENT/UNITS** to obtain this approval.

908.0403 Specifications for Printing

All printing requests require complete and accurate specifications. With rapidly changing technology, there is no substitute for consultation in the preparation of printing specifications. The

Procurement Office and the University Public Relations Office are available for assistance; at times,

printing suppliers will be called on for advice. Sample specifications follow these instructions in Section 908.040301. These are not all-inclusive and are only for guidance.

Generally, the less preparation the printer has to make before being in a position to reproduce

impressions, the less costly the printing work. Printing services are highly specialized, making it

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difficult in a manual such as this to apply definitions and guidelines for all types of printing work.

For example, with some types of printing, such as carbon-interleaved forms, it is routine for the art

work (drawing of lines and layout of the form in final detail) to be done by the printer. Occasionally,

typesetting is purchased separately, or is not needed (if, for example, computer printouts or typewritten, unjustified material is to be reproduced without further modification). If a printed item has been purchased previously and a Request for Purchase is issued to reorder that item, with or without changes, at least seven samples of it should be attached to the request. When applicable (See Section 905.21.), a Department/Unit must include in the specifications a statement reading essentially as follows:

“A logogram is to be printed on the back cover in the lower right-hand corner no smaller than in the following format. . . . “

908.040301 Sample Specifications for Printed Matter Stock:

Text- Nekoosa Offset Vellum Finish, White, Basis 60,
Cover- Nekoosa Offset Vellum Finish, White, Basis 80;

Ink:

Inside- Black, and one color for duotones and heads,

Cover- Black, and one color for duotone and copy;

Pictures: Eight in black, and six duotones;

Cover:

Front- Identical to sample provided,

Back- Identical to sample provided,

Inside: Printed front and back;

Process:

Inside- Offset,

Cover- Offset and embossed seal;

Page size: 9" x 8", folded for 4" x 9";

No. of pages: 12, counting front cover as page 1;

Pictures: Fourteen, including six duotones. Sizes 1" x 1" to 3" x 7";

Bleeds/cut lines: Cover picture to bleed on sides, no cut line;

Art: None;

Type

Faces: Identical to those used in sample provided;

Binding: Two staples, saddle stitched;

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Copy: To be provided by University;

Proofs: All proofs to be delivered by printer not more than seven (7) calendar days

following receipt by printer, and

Delivery

Date: Printing to be delivered ten (10) calendar days after approval of final proof.

This quotation contains all coverage, plates, negatives, art work, proofs, cut and other charges

except author's changes.

The printer must furnish printer's copy for University review. All correspondence from the printer

should be directed to the Procurement Office.

908.0404 Purchase of Reprints

The term "reprints" normally means one of the following:

Reprints of articles written by University Faculty members, where the purchase commitment must be given at the time the author's galley proofs are returned to the

publisher; or Reprints of articles appearing in periodicals, whether or not the author is a Faculty member.

908.05 PRODUCT AND SERVICE DEMONSTRATIONS BY SUPPLIERS

Supplier representatives often contact individual Departments/Units as well as the Procurement Office. Should a representative, in contacting a Department/Unit, suggest a demonstration of a particular product or service, the Department/Unit should notify the Procurement

Office since, in most instances, that product or service would be of interest to more than one

Department. Upon notification by either the supplier or Department of any proposed demonstration,

the Procurement Office will:

Evaluate the need, if any, for other Department/Units to participate in the demonstration; or Notify all potentially interested Departments/Units, either by memorandum or telephone, of the time, place and nature of the demonstration.

908.06 PREVIEW MATERIALS

In certain cases, vendors will send copies of video tapes, audio materials and/or books for preview.

Since most of these are used for instructional purposes, the State recognizes the need for the

material to be previewed by the user prior to purchase. In such cases where a vendor clearly has a

“**preview**” program, where there are no costs for either the item or any shipping or handling in the

event the item is returned, Departments/Units may order an item directly from the vendor. If the

item is not suitable, it should be returned and there will be no further action required because there

will be no costs incurred. This procedure should not be used for software because special approval

is required prior to purchase of the item.

Departments/Units must take precautions to avoid situations that cause an invoice from a preview to

be in one fiscal year (prior to June 30) and the acceptance of the item to be in the following fiscal

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year. Auditors do not permit this type of payment from University funds. In these and similar cases

the best procedure will be for the Department/Unit to return all materials and use a Request for Purchase to order the item it wants.

In instances where either a preview charge or a shipping or handling charge is known or stated by the vendor, a Department/Unit must make the original request through the Procurement Office in the form of a Request for Purchase.

908.07 PURCHASE OF USED EQUIPMENT

908.0701 Description of Item

On the Request for Purchase, the Department/Unit must provide a detailed description of the item to be purchased, including manufacturer's name and model number, serial number of the equipment; it

must also indicate whether the machinery is used, reconditioned and/or a demonstrator model. The

Department/Unit should also include the warranty period, service to be provided, and the price offered by the supplier to sell the requested equipment.

908.0702 Obtaining Quotations

The requesting Department/Unit should obtain a quotation, on the supplier's letterhead or other form

(not invoice), which states the exact price at which the supplier is offering to sell the used equipment to the State and attach this quotation to the Request for Purchase. The supplier must be informed that the quote is confidential and that State Purchasing may require the supplier to submit a new quotation on the State's Request for Quotation form.

908.08 PURCHASES WITH TRADE-IN OF EXISTING ITEMS

State Purchasing will closely review requests for trade-ins of equipment items against the purchase

of similar equipment and will occasionally permit trade-ins if the item to be traded cannot be

transferred to another State agency or sold for more than the trade-in value. A

Department/Unit

contemplating the possibility of trading used equipment on the purchase of new equipment should

first consult the Procurement Office. If allowed, the Department/Unit should show on the Request

for Purchase a description on the equipment to be traded including the year of manufacture, model

number, serial number, condition and University inventory number. Generally, supplies cannot be traded. In specific instances where such might be desirable, the Department must contact the Procurement Office for further information.

908.09 PURCHASE OF GOVERNMENT SURPLUS PROPERTY

Purchase of U.S. Government and State of Georgia surplus property may be made only through the

Property Section of Logistical Services and the DOAS Division of General Services. Such

purchases require a Field Purchase Order issued from the Procurement Office, usually after the

Department/Unit selects and accepts the items. Procedures for this process are in Section 917.08,

Surplus Property Procedures, of this Manual. Items located at other agencies require that the agency in possession of the items obtain approval from DOAS. This process does not void the requirement for special approvals. Departments/Units are required to obtain all necessary approvals, including special approvals such as EDP, prior to obtaining items from any sources.

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In order to visit and purchase from one of the Surplus Property Warehouses, a written pass is

required. The pass is issued by the Property Control Section of Logistical Services on an individual

basis, to Staff or Faculty members recommended by their Department/Unit Head. The pass is good

for one visit on only a specified day.

908.10 MISCELLANEOUS PURCHASING PROCEDURES AND INFORMATION

908.1001 Agency Funds

As stated in the Policy section of this Manual, purchases with Agency Funds are usually exempt from the requirement to be processed through State Purchasing. However, purchases from these funds are to follow standard public purchasing policies and practices that are outlined in this Manual. In any situation in which title to property purchases made with Agency Funds will under any contingency revert to the University, this distinction must be noted and specifically discussed with the Procurement Office as a

formal component of the Request for Purchase. Agency Funds are not exempt from the payment of State and Federal Taxes.

908.100101 Student Activity Funds

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A. Purchases totaling \$2,500.00 or less may be made through the use of a Request for Purchase, or Petty

Cash. Departments/Units are not permitted to split requests or purchase multiple times using this procedure to

avoid the bidding requirements of the University.

A. Purchases will be processed with a Request for Purchase form, prepared and forwarded in accordance

with Section 907.01 of this Manual. Orders totaling more than \$2,500.00 require the obtaining of competitive bids,

and evidence of the four (4) bids, showing the company's name, person contacted, payment terms, quoted prices,

and freight terms, must be submitted with the request form. The Department/Unit should be familiar with all

requirements of this Manual regarding bidding at the University. If properly documented bids are not included with the Request for Purchase, the Procurement Office will obtain bids in the normal process.

908.100102 Other Agency Funds

Any procurement which is charged to Agency Funds (for which the University is merely acting as a

banker or trustee) is not required to comply with DOAS procedures; however, the University does

retain the requirements of accounting and audit responsibilities and should follow the "public funds"

procedures of Section 908.1001. These accounts are identified by the number 90 in account designation.

908.1002 Contracts, Grants, Agreements and Gifts

All purchasing under contracts, grants, agreements or gifts is subject to State of Georgia purchasing regulations (Funds derived from Federal sources may also be subject to Federal

regulations.), to Board of Regents policies and to Albany State University policies. Expenditures for

obligations incurred under contracts, grants, agreements or gifts cannot be made for purposes other

than those for which State funds can be expended, unless exceptional types of expenditures are specifically authorized and stated by the donor or grantor as a requirement of the grant, contract, agreement or gift documents.

All requests for expenditure of funds from contracts, grants, agreements or gifts must have budget

approval as specified in written documentation relative to the specific fund on file in the Office of the

Vice President for Fiscal Affairs. Additional special approvals are required for the types of purchases requiring those approvals as listed in this Manual.

908.1003 Purchase of Electrically Operated Equipment

Any contemplated purchases of electrical equipment requiring significant amounts of power or

anything which requires an electrical source of other than 115 V, single phase, 60 Hz should be

discussed with Plant Operations. A statement that Plant Operations has been contacted should be

included on the request. The Department/Unit should verify adequate electrical sources for all items

before an item is obtained. The addition of multiple extensions or outlet strip should be discussed with Plant Operations.

It is essential that Departments/Units follow this procedure to preclude the possibility of having to make costly modifications to the equipment or to the electrical supply to the building in which the equipment is to be housed. This procedure will also allow the Physical Plant to plan better its workload requirements and also enable the Department/Unit to begin using the equipment in a timely manner.

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908.1004 Special Approvals

908.100401 Telecommunication Equipment

All requests for telephone services, radio equipment for mobile or base station use in two-way communication, and all equipment or services such as closed circuit television, paging service, facsimile machines, and telephone answering systems which might use University telephone circuits must have DOAS Telecommunications approval prior to

processing of a Request for Purchase. These requests must be forwarded to the University Telecommunications Coordinator, for review prior to purchase.

908.100402 Copiers

Copiers are covered by State Contract and must be selected from those available through the contract. Departments/Units are advised to use existing copiers or local copy services for occasional large printing or copy requests, rather than attempting to justify a large volume copier on the basis of occasional peak demands.

908.100403 Microfilm Systems, Equipment, and Services

Requests for Purchases for such equipment and services should be routed to the Procurement Office. The Procurement Office will send a copy of the request to the Records Management Section, which may approve routine requests up to \$5,000 purchase under Small Value Authority.

Requests in excess of \$5,000 will be processed and forwarded to the State Records Management

Division for consideration. After approval by the State, normal procurement procedures will be followed.

908.100404 Purchase of Vehicles

Station wagons, pickups and vans are covered by State Contract, normally during the period

beginning November 15 and ending April 15 each year. Efforts should be made to purchase these

types of vehicles during the period due to the cost savings available. The Procurement Office must

forward all vehicle requests to the Department of Administrative Services of Georgia for review prior

to purchase. Purchase of passenger vehicles must have the approval of the President of the

University and the Board of Regents. (In the administration of this regulation, station wagons, vans

and trucks are not considered passenger vehicles.)

Where vehicles are manufactured under mass production techniques, tooling for new model changes causes a production shut down. Therefore, State Purchasing is unable to obtain quotations for these types of vehicles, except under unusual circumstances, from April through September of each year. Request for Purchases for these types of vehicles, therefore, should be submitted no later than March 1; later requests might result in under-use of the current year's budget.

908.100405 EDP Equipment, Software, and Service

Purchase of all computer equipment, software, programming services, modems, and data processing related items must be approved by the University EDP Committee or the Director of Information Technology. If an item is or includes a computer processing chip, costing more than \$1,000.00 per unit, or more than \$10,000.00 as a one time purchase, State approval is required.

The Department/Unit will forward all Requests for Purchase to either the Director of Information

Technology or the Computer Center for approval of academic and/or administrative needs. This

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approval is not required for consumable supplies such as ribbons, blank diskettes, printer cables, and reference manuals. Non-processing type products such as printer switch boxes, printer stands, and surge protectors do not require this approval, but Departments/Units are advised to work with those personnel to ensure compatibility with existing equipment.

908.100406 Ethyl Alcohol

Because of Federal and State regulations, the purchase of tax-free alcohol requires special procedures. To purchase, a Department/Unit must prepare a Request for Purchase in the normal manner and forward to the Department Head, Department of Natural Sciences. It will then be forwarded to the Procurement Office. Current prices may be obtained from the Procurement Office.

908.100407 Memberships

Memberships are generally to be considered for the University rather than for the Department/Unit.

This allows the benefits of a single membership to be available to all Departments/Units. Most

membership costs are charged to a General Expense account to recognize the institutional benefits

and to avoid duplication of payments. This requires all memberships to be approved by a Vice

President and, if recommended, the President. Departments/Units should submit new and renewal

membership requests on a Request for Purchase to the appropriate Vice President with an invoice

or fee schedule attached. These will be approved and coded with the correct account number for

either General Expenses or the requesting Department/Unit as determined to be necessary by the

Vice President. The approved request will then be forwarded to the Financial Operations Office,

where a log may be kept of memberships and payments for review each year. If a Purchase Order

is required to obtain an invoice, the Financial Operations Department will forward the request to Procurement for processing.

908.100408 Advertising and Employment Position Listings

All position advertisements require the approval of either the Vice President for Academic Affairs (for

a Faculty member) or the Personnel Office (for a Staff employee). The Department/Unit should

submit a completed Request for Purchase for the appropriate approval. The description section of

the request should show the advertisement name or the position title and dates or issues desired for

the listing. A copy of the advertisement typed on a single sheet of white paper should be attached. When approved, the request will be forwarded to the Procurement Office for processing of a Purchase Order.

908.100409 Temporary Employees Through an Employment Agency

Requests for temporary employees to be hired through an employment agency require the same

approval as position advertisements. The request must include a description of the tasks to be

performed and the dates and hours to be worked. In general the Department/Unit should work with

the Office of Human Resources Management before deciding to use an employment agency. Bids

MUST be obtained for temporary employment requests. The Department/Unit may contact four

local firms and document, on the Request for Purchase, the persons contacted, the date contacted,

and the price quoted. If this information is not included with the request, the Procurement Office will

obtain quotes in the normal manner.

908.1005 Purchase From Other Departments/Units at the University

908.100501 Library

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The Library is authorized to order only those items that will be catalogued as part of the Library collection. Departments/Units should request the Library to order items only when the use will be for Library patrons. Purchasing of other supplies, equipment, and services will be processed in conformity with the policies and procedures of this Manual.

908.100502 Bookstore

DOAS requires that the Bookstore be treated like any other supplier. The following items may be purchased from this source:

Books, except for those items carried by mandatory or State contract sources. The dollar limit is \$499.99;

Office supply items, except for those carried by mandatory or State contract sources. The dollar amount is \$250.00; and Other types of soft goods usually considered personal items and generally excluded from these purchasing procedures. With adequate justification, specific items as advertising pieces for University activities could be approved as individual transactions.

908.100503 Other Auxiliary Units

Most items (such as food, food service items, vending services, and residence accommodations)

available from other auxiliary units, would be considered as personal use items and typically

cannot be charged against State funds. If a specific grant or contract permits the purchase of these

items, the Grant Administrator should contact the Procurement Office for approval prior to committing funds for these items. The charges for the items will be through the existing billing system in Auxiliary Services. A Request for Purchase form to which is attached the Auxiliary Service invoice will be processed. If non-State, University funds are to be charged, the DOAS restrictions do not apply.

908.100504 Central Stores

Purchases from Central Stores at the University Warehouse are made by using the Central Stores

Request described later in Sections 911 and 912 of this Manual.

908.100505 Educational Media Center

Departments/Units may submit to the Procurement Office for processing Requests for Purchase for services or materials from the Media Center. These requests are processed through regular channels. DOAS requires a copy of these transactions.

908.100506 Campus Mail Service

Departments/Units submit Requests for Purchase to the Office of Procurement for stamps and other services from the Campus Postal Services. Purchase Orders are prepared, and checks are issued to the Postal Services for the procurement of stamps for the ordering Department/Unit. DOAS requires a copy of these transactions.

908.100507 Plant Operations

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All purchases made by the Plant Operations Departments must conform to the policies and

procedures of this Manual, so that any transfer of charges will not require additional documentation

to DOAS. Any vehicle rental from the Motor Pool at Plant Operations is considered a travel expense and is thus exempt from DOAS regulations. (See Section 1100 of this Manual.)

908.100508 Other Departments/Units and Transfers of Charges

In general Department/Units purchases between State-funded accounts can be accomplished with

transfers of charges requested and authorized by the Department/Unit Heads involved, and processed by the Director of Financial Operations. No documentation is required in the Procurement Office unless the transfer involves equipment which affects the Property Accounting Records.

Transfers of charges from State-funded accounts to other accounts follow the same process as with

two State accounts.

DOAS requires the Procurement Office to document transfers of charges from non State-funded

accounts to State accounts. Purchases from many of the non State-funded accounts are not

reported to DOAS, so the process of transferring these items to State accounts could be interpreted

as an attempt to circumvent DOAS regulations if they are not reported to DOAS. To accomplish

these transfers, the Department/Unit to be charged should submit to the Procurement Office a

complete Request for Purchase describing the items, the cost. Procurement will forward the yellow

copy of the request to the Financial Operations Office to complete the transfer. Departments/Units

are cautioned that all the regulations and restrictions of the State purchasing system apply to limit the type and dollar value of items that can be transferred in this manner.

908.1006 Purchases Requiring Advance Payment

Advance payment of purchases can be authorized only in limited situations. In general the items

must not be available from any other source, the supplier must state on its order form that Purchase

Orders are not acceptable, and the exact cost of each item plus any shipping must be shown on its

order form. In most situations it is in the best interest of the University to mail a Purchase Order to

the supplier. It could then be returned by the supplier with the current prices and a request for

prepayment. When advance payment is requested, a Department/Unit must place a statement in

the description section of the Request for Purchase: "Advance payment required—check must

accompany the order." The appropriate information from the supplier's catalog to substantiate that

the amount shown to be paid in advance is the correct amount must be attached to the Request for

Purchase. This information must include the date and number of the catalog that was used to determine the prices.

908.1007 Subscriptions

Subscriptions and renewal notices are mailed directly to the Departments/Units. When a Department/Unit wants to renew a subscription, it should attach the renewal notice/invoice to the

Request for Purchase. The description section of the request should show the name of the publication and the beginning and ending dates for the subscription period. Subscription periods are

to be for no longer than one calendar year and must conform to the accounting requirement that expenditures not carry over to subsequent fiscal years.

908.1008 Deadlines for Submitting Requests for Purchases

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To allow adequate time at the end of the fiscal year for obtaining bids, processing Purchase Orders,

and planning for the expenditure of remaining year-end funds, the Logistical Services Office

establishes deadlines for receiving Request for Purchases from Departments/Units. The Office will

provide these dates (deadlines) by memorandum each year as early as possible and practicable.

908.1009 Complaints about Products or Services

Departments/Units must make the Procurement Office aware of any problems that they have with purchased products or services. A thoroughly documented record is the best approach to ensure that the University avoids continued problems with specific products or suppliers. To accomplish this objective, Departments/Units should notify the Procurement Office, by memorandum, as soon as a problem is identified. A memorandum listing the supplier's name, Purchase Order number, product name, and a suggested solution can be sent as notification. The Procurement Office will contact the supplier for corrective action, and maintain complaint files for reference and history purposes.

The Director of Logistical Services is very interested in any problems or concerns that Departments/Units have with any area within the Logistical Services Division. Time taken to notify the Director, either in writing, by telephone, or in person, is necessary and appreciated.

908.11 DELEGATED AUTHORITY TO PURCHASE

908.1101 Library

The Director of the Library is delegated primary responsibility for the acquisitions, binding services,

microfilm services, and interlibrary loan items to be used by patrons of the Library. Departments/Units work with appropriate Library Personnel to order items that they need and that are to be catalogued for support of instruction and research. The Library submits Requests for Purchase to the Office of Procurement for the purchase of goods and services. DOAS requires a copy of these transactions.

908.1102 Bookstore

The Manager of the Bookstore is delegated primary responsibility for purchases of items to be resold through Bookstore operations. The Bookstore is responsible for preparing all Bookstore Purchase Orders and submitting typed Purchase Orders to the

Assistant Director of Logistical Services for his or her review and signature. DOAS does not require reports for these items, but a copy of each Purchase Order is maintained in the Office of Procurement.

908.1103 Other Delegated Authorities

Other special permissions have been granted for Plant Operations Department for very specific purposes. No other delegations of purchasing authority are made.

908.12 PURCHASING WITH A STATE OF GEORGIA PROCUREMENT CARD

908.1201 Purpose and Benefits

The use of the Procurement Card will allow employees to purchase items quickly and without a

Purchase Order. It will reduce paperwork and processing time in the department as well as in the

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Offices of Procurement and Accounts Payable. Also, the card will allow payment to be made by NationsBank to the vendor within days of purchase.

908.1202 Security

The Procurement Card should always be treated with at least the same level of care as an

individual's own personal credit cards. An individual authorized to use the card should keep it in an

accessible but secure location as he or she is the only person authorized to use the card. Do not post the account number of the card. The card number should never be displayed on any packing slips, labels, etc. Do not lend the card to another person for use .

908.1203 Procurement Card Coordinator and Assistant Coordinator

The Procurement Card Coordinator and the Assistant Coordinator provide support and assistance to

card holders, campus departments, etc.; distribute/process new card applications, process changes in card holder information (name, mailing address, increase or decrease in limits, etc.), schedule training, distribute monthly credit card statements and other reports and update User's Guide.

The Procurement Card Coordinator and the Assistant Coordinator will also function, as follows:

A. Process authorized requests for Procurement Cards, maintain control over active cards, and close

accounts in accordance with operating procedures.

A. Establish and maintain accounting code(s) for each card so that transactions are charged to the correct

account(s).

A. Provide periodic listing of card holders to designated University officials and prepare summary reports to

enable these officials to identify unauthorized use.

A. Exercise control over the program by using statistical sampling techniques to select and audit the

Activity Logs and monthly accounting records maintained by the users and University.

A. After the first of each fiscal year, request all records from card holders and departments for centralized

record keeping.

A. Resolve disputed charges between the merchant and the purchaser.

908.1204 NationsBank

As the participating bank, NationsBank will be responsible for the following:

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A. Pays suppliers as they submit Visa slips.

A. Controls credit verification.

A. Provides monthly statements and analysis to Budget Manager.

A. Sends duplicate copies of sales drafts in the event of a disputed charge.

908.1205 Procedures

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A. The Procurement Card may be obtained by completing a Procurement Card Application and Agreement

Form. The card will be issued in the name of the University with an Albany State University employee listed as the

user. The Procurement Card may be used to make purchases from any vendor who accepts the card.

A. The Albany State University Procurement Card Program provides an optional purchasing procedure regarding transactions for goods and services valued at \$2,499.99 or less, including shipping and handling charges, taxes, insurance, etc. Purchases made on the Procurement Card are limited to less than \$1,000.00 per single item and \$2,499.99 per single transaction, which means that one purchase could consist of two items costing \$999.99 each and one item costing \$499.99, including shipping charges. Any single item costing \$1,000.00 or more cannot be purchased using the Procurement Card. Although the University is exempt from Georgia Sales Tax, it may pay sales tax that may be added to a purchase. The University card user must bring the tax exempt status to the vendor's attention.

A. The Procurement Card can only be used for University related business for which institutional funds will be disbursed. No personal purchases may be made through the use of the Procurement Card.

A. Purchase can be made using the Procurement Card in person or by phone. Central Stores will not

accept any Purchasing Card deliveries. All deliveries must be sent directly to the University card holder. For

Purchasing Card deliveries, use the following address format:

Card holder's name
Department name
Building and room number
Street address
City, state, zip code

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A. The card holder must always follow internal departmental procedures specified for his or her department

to obtain authorization to make a purchase using the Procurement Card.

A. The card holder must determine if the Procurement Card is the most appropriate method to use for the

purchase, always ensuring that the item is not a restricted or statewide contract item. A. The card holder must determine if the price quoted is the best the University can obtain (all circumstances considered) and must record the name of the person taking the order.

A. The card holder must obtain a receipt at the time of the purchase. He or she must maintain an Activity

Log to verify the accuracy of the vendor's charges on the monthly Bank Statement. He or she must keep all packing

slips, etc., stapled to the activity log. The monthly Bank Statement must be reconciled by the card user to the

Activity Log.

A. The employee's immediate supervisor or authorized designee other than the card holder will make a

detailed review of the Activity Log and the monthly Bank Statement within five (5) days of receipt of the Bank

Statement to ensure the amounts charged reflect goods actually received. The reviewer will sign and date the

Activity Log and monthly Bank Statement to indicate the review was performed. All copies should be returned to the

employee card holder for record keeping. All records should be kept for the fiscal year by the employee card holder.

Unless notified within five (5) days, Accounts Payable will process the monthly billing for payment.

908.1206 Limitations and Items not Allowed for Purchase with Procurement Card
The following limitations and restrictions as to use have been assigned to your NationsBank Visa Purchasing Card:

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A. Single Purchase Limit (including shipping, handling, etc.) — \$500.00.

A. Travel and entertainment expenses.

(There is also a Merchant Category Code (MCC) restriction on all University Procurement Cards that specifically prohibiting the procurement of automobile rentals, airline tickets, cash advances, and hotels/motels.)

A. Personal purchases.

A. Advertisements for personnel recruiting (staff or academic).

A. Alcoholic beverages.

A. Equipment (single items costing \$1000.00 or more).

A. Cash advances.

- A. Commencement or convocation expenses.
- A. Construction/remodeling.
- A. Consultants' and speakers' fees/honorariums.
- A. Controlled substances (prescription drugs, narcotics, etc.).
- A. Deposits for conference or meeting facilities, lodging, etc.
- A. Donations.
- A. Dues, registration fees, travel and travel related items.
- A. Entertainment costs, tickets, tours, etc.
- A. Ethyl alcohol.
- A. Fines, late fees, or penalties.
- A. Firearms or explosives.
- A. Flowers.
- A. Food and meals.
- A. Fund raising costs.
- A. Gases, compressed or liquid (exception: gases in disposable containers are allowed).
- A. Gifts.
- A. Hazardous or radioactive material.

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- A. Holiday decorations and cards.
- A. Independent contractors.
- A. Interest/finance charges.
- A. Live animals.
- A. Lobbying costs.
- A. Lodging or housing.
- A. Maintenance or other service agreements.
- A. Memberships.
- A. Performer fees.
- A. Personal use items: radios, coffee pots, gifts, microwaves, refrigerators, etc.
- A. Postage stamps.
- A. Public relations items.
- A. Rental of equipment for periods exceeding thirty (30) days.
- A. Services or items provided by in-house departments such as Plant Operations, Word Processing Center, Central Stores, etc.
- A. Services involving an employer/employee relationship.
- A. Student events, travel, tuition, scholarships, or stipends. A. Telecommunications equipment of any type or value *i.e.*, telephones, fax machines, answering machines.
- A. Tuition for employees.
- A. Travel (lodging, restaurants, airline tickets, and anything else that involves travel).
- A. Typing services.
- A. Utility payments.

- A. Vehicle rental.
- A. Office supplies that are available at Central Stores.
- A. Temporary employees.

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908.1207 Returns, Damaged Goods, Credits

If goods purchased with the Procurement Card need to be returned, the card holder should work directly with the supplier.

Tips to remember:

A. Always retain boxes, containers, special packaging, packing slips, etc., until it is definite that the items

purchased will be kept. Some items, such as fragile pieces, cannot be returned without the original packaging

materials.

A. Read all enclosed instructions - a phone number and other instructions may be included on the packing

slip and/or receipt.

A. Many suppliers require that a "Return Authorization Number" is obtained before they will accept a

return. Neglecting to obtain this number, when it is required, may result in the package being refused and/or no

credit will be issued to the account.

A. In some cases there may be a restocking fee (usually a percentage of the Purchase price). If the

supplier is completely responsible for the error or problem, the University should not have to pay this, or any other

fee. If they are not fully responsible, the University may have to pay it. If it does not exceed any of the limitations

and/or restrictions otherwise applicable, the Procurement Card may be used to pay this fee.

A. If assistance is needed in packaging goods for return, limited assistance maybe available through

Central Stores.

A. The card holder must ensure that the charge for the returned items:

A. Never appears on your monthly statement, or

A. Is credited properly.

If this does not occur, refer to Disputed Transactions for instructions on how to resolve the problem.

908.1208 Disputes

If there is a problem with an item purchased with the Procurement Card, the card holder should first

try to reach a resolution with the vendor. Any credit transaction would be logged as a line item on

the Activity Log. If an agreement cannot be reached with the vendor, a Card holder Statement of

Disputed Item must be completed and faxed or mailed to the DOAS Purchasing Card Administrator.

The DOAS Purchasing Card Administrator will review the discrepancy and fax the appropriate

documents to NationsBank. NationsBank will process a charge-back to the vendor and give DOAS

credit on the next statement.

908.1209 If Approval Is Denied

If a supplier advises that approval has been denied by the Credit Card System, it is usually a result

of a violation of one of the various established levels of authority checks. The supplier will not have

information related to the reason for denial, nor does the University employee have authority to

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obtain the information from the bank. The employee should contact the Program Administrator at telephone number (404) 651-1518 who will contact the bank to resolve the issue.

908.1210 Lost, Stolen Card or Damaged Card

If the Purchasing Card is lost, stolen, or damaged, it is the card holder's responsibility to notify

NationsBank immediately at telephone number 1-800-538-8788 (24 hours a day). The card holder

must then complete a Purchasing Card Lost/Stolen Report and mail or fax it to the DOAS

Purchasing Card Administrator in Internal Business Services, 200 Piedmont Avenue, Suite 1604 W,

Atlanta, Georgia 30334; fax number: 404-651-9498. A copy should be given to the card holder's supervisor.

Should the card holder leave Albany State University, change positions, or not need the card for any

reason, the card holder must request cancellation of the card account through his or her supervisor.

The card must be cut in half and given to the card holder's supervisor who will e-mail a request to

cancel the account to the DOAS Purchasing Card Administration. The supervisor will then mail the

card pieces to the DOAS Purchasing Card Administrator at the address shown above in this section.

908.13 GENERAL RECONCILIATION INSTRUCTIONS

This section provides general procedures and instruction concerning the reconciliation of the procurement documents, Activity Logs and bank (Procurement Card) statements.

908.1301 Procurement Card (Bank) Statement

The card holder will receive this statement monthly and, after reviewing it, reconciling it to the

Activity Log and verifying it for accuracy, forward it to the Budget Manager (who will review it and

approve it). If the card holder does not receive the monthly statement, he or she should contact the

Procurement Card Coordinator, or the Assistant Coordinator

All charges that were electronically received by the University during the calendar month will appear

on the statement, as well as on the appropriate University's monthly Financial Account System Statement(s).

The card holder statements must be reviewed monthly to ensure that a receipt or other acceptable

documentation supports each purchase. Failure to have the appropriate supporting documentation,

authorization signatures, etc., will result in revocation of the card and/or termination of employment.

The card holder's documentation will be audited on a regular basis for compliance with this and all

other applicable procedures.

908.1302 Processing and Approval of the Procurement Card Statements

One copy of the monthly billing statement will be sent to the card holder who will process as follows:

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A. Compare the statement with the corresponding copies of the original charge slips retained by the

department. Verify that items have been received.

A. Within five (5) days of receipt of the NationsBank billing statement, prepare a Procurement Card

Account Summary form and forward it to the Office of Accounts Payable with the original statement.

A. Within five (5) days of receipt of NationsBank billing statement, forward the original receipts with a copy

of the billing statement to the Procurement Office. Do not send summary and receipts together.

A. After the Budget Manager has determined that the appropriate receipts and/or other supporting

documentation are on file for each purchase on a statement, the card holder and his supervisor must sign the

statement.

If a charge slip is not received with an order, the card holder must request one immediately. He or she should not wait until the statement is received to request one. This will delay all payments.

If the original charge slip is lost:

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A. Circle the charge on the Procurement Card Statement.

A. Attach a memo signed by the Budget Manager identifying the charge, who purchased it, and what

item(s) was (were) purchased.

A pattern of missing receipt copies will result in revocation of Procurement Card privileges. It is the responsibility of NationsBank to notify the University's Procurement Card Coordinator by letter when the University's account becomes five (5) days past due.

If payment is not received within thirty-one (31) days of the original due date, all card usage for the University will be suspended until payment is received.

908.1303 Automatic Renewal

A new Procurement Card will be mailed directly to the card holder each year. It will be mailed to the University address on file in the Procurement Office. If you do not receive a card before the current one expires, call NationsBank Customer Service Number 800-538-8788.

908.1304 Updating Card Holder Information

The limits on a card, and other information such as address, telephone number, name of the Budget

Manager, etc., may be changed by submitting the appropriate “change” form. The Procurement Office maintains a supply of these forms.

908.1305 Retention of Statements and Receipts

The Activity Log sheets and the Procurement Card Bank Statements are maintained for the full fiscal year. The Procurement Card Coordinator will request all records for the previous year for centralized record retention shortly after fiscal year ends. As requested, departments will periodically provide access to all records for audit purposes. Receipts and statements are to be retained for five years after a fiscal year ends.

909 RESOLUTION OF UNAUTHORIZED CHARGES TO UNIVERSITY FUNDS

University Departments/Units are not permitted, WITHOUT PRIOR AUTHORIZATION (such as in cases of emergencies), to make fiscal commitments against University funds, except an approved Petty Cash Fund according to the provisions of this Manual. If such a commitment is inadvertently made, a Department/Unit must follow certain procedures.

909.01 NOTIFICATION AND JUSTIFICATION

The individual making the commitment must write to his or her Immediate Supervisor a detailed letter of explanation, which must be forwarded through normal procurement channels to the Procurement Office. The Department/Unit must contact the Procurement Officer immediately for guidance in this matter.

The letter must include the reason(s) the commitment was made without prior approval or compliance with purchasing procedures, and an acknowledgment that the responsible employee

has been counseled and now understands correct procedures. This letter should accompany a

Request for Purchase to which is attached the original invoice covering the purchase. If the cost

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involved to the University is for more than \$200, the letter must also address the issues of cost from

alternate suppliers and the evaluation of available substitute products.

909.02 LIABILITY FOR UNAUTHORIZED COMMITMENT

Even upon compliance with the requirements of Section 909.01 above, there is no assurance that

payment for an unauthorized charge can be made, particularly if it violates State law and/or State

Purchasing regulations. The individual who made the commitment, or the one who directed that the

purchase be made in an unauthorized manner, may be personally liable for settling the matter with

the vendor. Employees should be aware that except where a written contract with a supplier states

otherwise, suppliers cannot be held responsible for knowledge of University and State purchasing policies, procedures, rules, regulations, and related matters.

909.03 REVIEW AND PROCESS FOR AN UNAUTHORIZED COMMITMENT REQUEST FOR PURCHASE

An unauthorized commitment (purchase), if submitted as stated above, will be reviewed by the

Procurement Officer and the Vice President for Fiscal Affairs. A case-by-case determination will be

made as to the appropriate decision. Previous instances of unauthorized commitments by the

same employee and/or the same administrative area may be justification for rejection of the current

request.

909.04 TAXES ON UNAUTHORIZED PURCHASES

Taxes on such purchases will not be paid with State funds.

909.05 EMPLOYEE RESPONSIBILITIES IN SETTLING THE MATTER The employee making the unauthorized commitment is responsible for assisting in resolving the matter through the procedures described above; additional responsibilities are listed below:

Notification to the supplier that taxes on the invoice cannot be paid by University funds;

Payment of any taxes billed on the invoice or resolution of the matter between him or her and the supplier;

Acquisition of an original invoice or paid receipt for the goods or services obtained; and Any other actions requested by the Procurement Officer necessary to assist in resolving the matter equitably, ethically, and in the best interest of the University.

909.06 PROCESS FOR PAYMENT

If the confirmation document is approved for payment, the Procurement Office and the Financial Operations Office will process it as expeditiously as possible.

910 PURCHASE AND PAYMENT BY CASH

910.01 GENERAL STATEMENT

Up to a \$50.00 limit and within the DOAS requirements to purchase from contract and mandatory

sources, University Departments/Units may make direct purchases and direct payments by cash

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for such purchases. Departments/Units with University funds in accounts beginning with the numbers 90, or 95 are exempt from DOAS restrictions. It is anticipated and expected that most Department/Unit needs can be met with the Request for Purchase procedures rather than Petty Cash. Departments/Units cannot split purchases to circumvent this procedure. Such an approach causes additional expense for the Department and the University to process the additional transactions.

910.02 PETTY CASH PROCEDURES

910.0201 Purchase with Cash

The Procurement Officer has jurisdiction over the purchasing aspect of Petty Cash, while the

Financial Operations Department has jurisdiction over the payment aspects. All phases of the cash

purchasing and payment system are included in the following section for easy reference.

For purposes described in this section, a Petty Cash Fund has been approved for the Cashier in the

Financial Operations Office, for Plant Operations and for the Bookstore.

There is a \$50.00 limit on Petty Cash purchases. All cash purchases above the \$50.00 must be

preauthorized under procedures as described in this section. For purchases under the \$50.00 limit

the Department/Unit Head is responsible for purchase approval within the limits of this Manual. If

there are questions, the Department/Unit Head is expected to confer with the Procurement Officer

before making any commitment. (These purchases are approved “after the fact” by the Procurement

Officer.) If an error is made, or if the Department/Unit Head authorizes an unapproved item for

purchase, he or she must provide a letter of explanation for the file and audit purposes. In some

specific and Department/Unit-unique situations the Procurement Officer may issue by memorandum

an indefinite authority to purchase selected items or class of items (e.g., C.O.D. shipments to the Bookstore, feed materials for experimental animals in a Department). Any Department having needs that may be most effectively met by this procedure should discuss the situation with the Procurement Officer.

As authorized by the DOAS Division of Materials Management, Departments/Units may make direct

purchases from suppliers for immediate needs. It is University policy that such direct purchases be

made only when payment in full is made at the time and initial point of delivery. A maximum dollar amount limitation of \$500.00 per purchase applies to all Departments/Units except Plant Operations, which is given special authority.

910.020101 Limitations

State Purchasing might consider repetitive purchases an evasion of the local-purchase limit and could require a written explanation and/or reimbursement disallowance. It views a local-purchase limit a privilege which is revocable if abused.

Cash purchases are subject to the same DOAS Division of General Services University System, and University requirements as are all other purchases. It is the responsibility of the Department/Unit Head and employees making such purchases to be familiar with the policies, procedures, regulations, and other matters regarding such purchases. In addition, (a) items subject to Library control, (b) items that involve trade-ins of State property, (c)

firearms and original works of art, which are excluded because they must be acquired in the

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property control system, and (d) payments involving employer/employee relations that must be made through the payroll system cannot be processed through this procedure.

910.0202 Receipt Requirements for Reimbursement to Employee

910.020201 Receipt Requirements

With one exception—cash-register receipts (See Manual Section 910.020202)--all receipts

submitted for reimbursement to the employee (and by the approved Petty Cash Fund custodians for

reimbursement of the fund) must have the following characteristics:

The receipt should be an original; it should not be a carbon copy or a photocopy;

The receipt should be marked “paid” and carry the signature of the vendor’s representative and the name of the vendor. It should be a formal receipt - not merely a slip of blank paper on which the information has been written; and The receipt should show the date of the purchase, and the quantity, description, unit price and price extension of each item purchased. A “Receipt,” as used here, means a cash sales ticket, a paid invoice, or a formal receipt form.

910.020202 Exception to Receipt Requirements

In those instances where only a cash-register receipt is obtainable from the supplier, the cash-register receipt may be submitted for reimbursement, provided the vendor’s name is machine

printed on it. In such cases, it is not necessary to obtain the signature of the supplier’s representative. (Note: A C.O.D. shipment will use a clearly marked packaging list or delivery slip, and a C.O.D. receipt signed by the carrier.)

910.0203 Payment to Supplier

Payment to the supplier may be made in cash from personal funds, or in cash from funds

temporarily withdrawn from the approved Petty Cash Fund. If a petty cash item cannot be

purchased without payment of tax, the tax may be included in the reimbursement to the employee.

Cash discounts, if allowed, should be taken.

910.0204 Sources of Reimbursement to Employee

Cash purchases may be reimbursed to an authorized University employee upon presentation of a

receipt complying with criteria listed in this section. Reimbursement may be made from one of three

sources:

University check upon presentation and processing of a properly completed Request for Purchase, University Cashier (by cash) upon presentation of a properly completed Petty

Cash Request, and Approved Petty Cash Fund (by cash) upon presentation of properly documented receipt.

910.020401 Reimbursement to Employee by Check

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Where the purchase is made with personal funds, the employee may receive reimbursement by preparing a Request for Purchase and attaching a paid receipt. A University check, payable to the individual requesting reimbursement, should be issued in two weeks or less. This reimbursement procedure is somewhat costly since it involves more document processing and therefore should not

be used unless one of the other two methods of reimbursement is not practicable in a given

instance (e.g., an employee not physically located on the University campus). For reimbursement in

this manner, the Request for Purchase Form is completed in the prescribed manner except that in the "Known Supplier" space on the form the name of the employee to whom the check is to be written is entered followed by the notation "PETTY CASH REIMBURSEMENT."

910.020402 Reimbursement to Employee by Cashier

Where the purchase was made with personal funds, an employee may receive reimbursement from

the University Cashier located in the Office of Financial Operations. Any individual so authorized by the Department/Unit Head will be reimbursed in cash by the University Cashier for official petty cash purchases upon presentation, in person, of a paid receipt and a properly completed Petty Cash Request Form. The Department/Unit Head need take no further steps with the Accounting and Budgeting Section unless the monthly Departmental Detail Budget Report reflects an erroneous charge.

910.020403 Reimbursement to Employee from Approved Petty Cash Fund

The receipt should be presented to the Petty Cash Fund Custodian. The name of the payor (person

who made the purchase) should be recorded on the receipt. Reimbursement will be made in cash.

Replenishment of the Petty Cash Fund will be according to procedures in Section 910.03.

910.03 PETTY CASH REQUEST PROCEDURES

910.0301 Time to Use

A Department/Unit completes the Request for Purchase Form as a Petty Cash Request for the following purposes:

To request funds (IN CASH) to establish an approved Petty Cash Fund (Receiving Department for C.O.D. transportation charges, Bookstore, Plant Operations, and the like);

To process paid invoices and reimburse funds (IN CASH) taken from an approved Petty Cash Fund for purchases; and To process paid invoices and receive from the University Cashier in the Office of Financial Operations cash reimbursement to an employee who has expended personal funds for approved purchases.

NOTE: If reimbursement is to be made to an approved Petty Cash Fund or to an employee by a

check, then the Request for Purchase procedure is used with the employee's name entered as the

supplier.

910.0302 Route of Form

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The individual responsible for the funds being reimbursed must personally present to the University

Cashier the Petty Cash Form (Request for Payment) with appropriate invoices and approval. The Department/Unit should retain the white copy of the form for its files.

910.0303 Preparation of the Petty Cash Form of a Request for Purchase
The following information provides a guide for the initiating Department/Unit to complete the Request

for Purchase Form when it is used as a Petty Cash Request. Each form can be used for only one

person or Department/unit account. The Department/Unit must forward the completed Petty Cash

form and original receipt(s) to the Fiscal Affairs Office for processing and payment. The Department

must type all information because copies of these forms are forwarded to DOAS as Purchase Order

copies for audit purposes. Thus, the information on the copies must be clear and readable. (See Exhibit 910.0303-1 for Sample Form.)

A. The Department/Unit must enter the eighteen digit account code to be charged, type "Split Charge," if a request is to be charged to more than one object code in the Department/Unit budget, and list the accounts with the Department/Unit and object code names in the Account Numbers Section. The total to be charged to each account must be listed by each account code.

A. The Department/Unit Head or his or her official designee who is authorized to expend budgeted funds must sign the request. If funds are not available and a budget amendment is anticipated, approval of the appropriate senior administrator and/or a Vice President is required. This determination, along with securing the necessary approvals, is the responsibility of the Department/Unit Head. The appropriate signatures must be placed in the spaces provided.

A. If special approvals are required as described in this Manual for special types of procurements, the approval number and signature must be entered. The Department/Unit Head is responsible for making this determination and obtaining approvals and signatures before submitting the request.

A. The Department/Unit must assign a number in sequential order to each receipt being submitted for reimbursement. A description of each item on the receipt must be placed below the receipt listing for the items.

A. The Department/Unit must enter the date of each receipt being submitted. (Note: This date may NOT be before the preauthorization date provided by the Procurement Office.)

A. The Department/Unit must show the name of the supplier for each receipt.

A. The Department/Unit must enter on each receipt a complete description of the items being purchased.

Entering only a part number is not adequate to define the item. Often it will be most informative to show the name of

the manufacturer and the model number to identify the specific item purchased to determine that it is not a contract

item. If necessary, the Department/Unit must state the use of the item (e.g., Alternator for Ford F-150 truck).

A. The Department/Unit must enter the quantity of each item purchased. This must be entered on the

same line as the description of each item.

A. In the unit price column, the Department/Unit must enter the total cost of each item on the line for each

item. The unit price is not needed. If tax or shipping is paid, it is entered as a separate item.

A. In the extended price column, the Department/Unit must enter on the line for each receipt the total cost

for each receipt.

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A. The Department/Unit must enter a total dollar amount of all items included in this request.

A. The Department/Unit must enter the name of the individual employee to be paid. If payment is to an

individual other than a custodian of an approved Petty Cash Fund, it should also enter his or her Social Security

Number. For reimbursement of the individual employee the notation "PETTY CASH REIMBURSEMENT" should follow

the Social Security number. For reimbursement of a petty cash fund, the notation "CUSTODIAN-PETTY CASH"

should follow the name.

Note: If reimbursement is to be made by check to either an approved Petty Cash Fund or an employee then the Request for Purchase (Petty Cash) procedure is used, with the employee's name and the other information listed in this Section entered as the supplier.

A. The individual receiving the item(s) must sign and date the form certifying receipt in good condition of

items purchased. If this individual is physically at a remote duty site, the Department/Unit Head must sign. The

custodian of an approved Petty Cash Fund must sign if reimbursement goes to that fund.

911 CENTRAL STORES POLICIES

911.01 FUNCTION OF CENTRAL STORES

The Central Stores Department of Logistical Services is established for stocking and issuing supplies that are commonly used by various Offices and

Departments/Units throughout the University. A Central Stores function is not required by either State or Board of Regents policy.

Instead, it is established to provide faster acquisition and delivery for items that must be obtained

from contracted or mandated sources. Items stocked will be procured in volume or on a contract, at

a total savings for both the Department/Unit and the University. Central Stores is the only permissible source of supply for stocked items because purchases are made from contracts. These contracts bind Albany State University to purchase the specific items only from the contracted sources. (APM, Section V, Page B1, Item 6.)

911.02 RESTRICTIONS ON USE

Only those Departments/Units that have an established account for operating supplies and expense

may use this service. Cash transactions are not permitted.

911.03 ADDITION OF ITEMS TO CENTRAL STORES INVENTORY Stocked items include maintenance, electrical, janitorial and office supplies. As demand warrants, other items will be added to the inventory. Requests for new items to be stocked should be

directed to the Central Stores Manager and should give a full description and estimated annual use. If an item is stocked at the request of fewer than ten (10) Departments/Units and they discontinue use of the item, the remaining stock may be charged proportionately to the accounts of those requesting Departments/Units.

911.04 OUT-OF-STOCK OR NON STOCK PURCHASES

Items not stocked at Central Stores should be purchased through the Department of Administrative Services (DOAS) Central Supply Catalog or from other contract sources if available.

Departments/Units should contact the Procurement Office to determine whether the item is

available from contract sources. If no contract exists for an item, the Department/Unit may order the

item locally, using one of the methods of purchase provided in Section 907 of this Manual.

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If an item is normally stocked in Central Stores but is temporarily out of stock, the reorder process

should have the item restocked within thirty (30) days. If a Department/Unit has an immediate need

for the item, it should contact the Procurement Office, with adequate justification, for authority to purchase immediately from a local source.

911.05 POLICIES OF OPERATION

Specific policies enable Central Stores to operate in a way that will be of greatest service to all Departments/Units.

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A. Central Stores may not be used as a last resort to expend a large amount of year end funds. Adherence

to this policy will allow items to be in stock at optimum levels for routine operations of all Departments/Units, and

keep inventory at levels for efficient management.

A. Central Stores personnel will adjust requested quantities to ensure that items are available for all

campus needs. If an unusually large quantity of an item is needed, a Department/Unit should submit the request

with at least a 45-day lead time.

A. Departments/Units may not request more than a three-month supply of most items.

A. All deliveries from Central Stores will be to the room specified on the request. The delivery person is

required to maintain a schedule and may not have time to wait for items to be unpacked and counted. Neither can

the delivery person unpack, relocate, or put items into Department/Unit storage.

Departments/Units may notify

Central Stores of any shortages and/or damaged materials within twenty-four (24) hours of receipt so that

adjustments can be made.

A. The deadline for submitting requests for items in Central Stores to be charged to the current fiscal year

will be Friday of the third full week in June.

912 CENTRAL STORES PROCEDURES

912.01 OPERATIONAL PROCEDURES

912.0101 Determination of Whether an Item In Stock

Departments/Units have two methods available to place requests or find product information. First,

Central Stores issues a quarterly pamphlet of items stocked. Only those items listed can be ordered from Central Stores. The listing contains a stock number, description, unit of issue, and unit price of all items stocked. Instructions for ordering are found in Section 912.03 and should be followed carefully to ensure optimal service.

912.0102 Route of the Request

The Central Store Purchase Request form must be used to make purchases from Central Stores. A

Department/Unit must complete requests according to instructions found in Section 912.03, submitting four copies of the form to the Fiscal Affairs Office for processing. The Department/Unit should retain the blue copy. After approval, the Fiscal Affairs Office will forward the forms to the Financial Operations Department. When the Financial Operations Department has assigned the requisition number, it removes the pink copy for its files and submits the remaining three copies to the Procurement Office for the signature of the Director. The Procurement Office keeps the yellow copy for its files and sends the two remaining copies (white and burnt orange) to the Central Stores Division for use in filling the order.

912.0103 Out of Stock Items

Central Stores will deliver available items on the next scheduled delivery. It will cancel items that are temporarily out of stock and will provide the requesting Department/Unit status information on the copy of the request returned with the delivered material.

912.0104 Delivery

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Central Stores provides for delivery service routinely. It is designed to provide Departments/Units a

quick, efficient, economical means of obtaining small quantities of stocked items. It considers all requests routine and will process them in a routine manner. Departments/Units with immediate

needs may send a representative with a signed request to pick up needed items. If a request is presented at the Central Stores offices, with a signature of authorization, Central Stores will give the

requested items to the individual. Central Stores personnel will not verify the authority of an individual to receive items for a Department/Unit. It is recommended that Departments/Units not use Students to receive items.

All items issued from Central Stores will be delivered to the building and room indicated on the

request. Individual orders will not be broken down for delivery to more than one location. Items will

not be unpacked by the Delivery Person. (See Section 913 for additional information concerning delivery procedures by Central Stores personnel.)

912.0105 Charges

Central Stores will send to the Financial Operations Office the completed request showing a Department/Unit receipt signature so that charges can be made to Department/Unit Account(s) at the end of each month.

912.0106 Shortages and Damaged Goods

Requests that are found either to be incompletely delivered or to have damaged merchandise must

be disclosed by the requesting Department/Unit to Central Stores within one working day of receipt.

The Department/Unit should contact Central Stores at Ext. 4710 within one working day of delivery

and provide request number, stock number, and quantity in question. Replacement of goods will be

on the next scheduled delivery after notification is received. The Delivery Person will pick up the

damaged item and provide a replacement item at no additional charge; alternatively, a credit will be

issued if no replacement is available. It is incumbent upon the person receiving the supplies to check thoroughly all items within one working day after receipt.

912.0107 Returned Items

Generally Departments/Units may not return items to Central Stores for credit. In unusual circumstances and with prior approval of the Central Stores Manager, the Department/Unit should

write a memorandum to Central Stores with the number from the request used to order the item, the

Stock Number for the item, the quantity to be returned, and a brief description of the item. The items must:

Not be from a request delivered during the prior fiscal year;

Be in the original, undamaged packaging; and

Be returned within three days after the original request was delivered. This will allow the items to be resold before they become obsolete.

The Delivery Person will pick up the items during the next scheduled delivery. Credit will be issued

in the same manner used to charge the items.

912.02 (NOT USED)

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912.03 PREPARATION OF THE CENTRAL STORES PURCHASE REQUEST FORM

To order items from Central Stores the ordering Department/Unit should prepare and forward through

appropriate channels a Central Stores Purchase Request Form. Exhibit 912.03-1 shows a sample of this form which has been coded with letters (A) through (N), to identify the procedures coded below with the corresponding letters (A) DATE - Enter the date the request is prepared.

(B) FORM NO. - If only one form is used for a request (order), the FORM NO. should be completed "1 of 1." If two forms are used, then the first FORM NO. would be "1 of 2" and the second FORM NO. would be "2 of 2," and so on © REQUISITION NO. - To be assigned in the Financial Operations Department. (D) DELIVER ITEMS TO - The Department Name (also building name, room number, individual name, etc. if appropriate) to which the order is to be delivered. (E) ORDERED BY DEPARTMENT OR DIVISION OF - Enter the name of the Department or administrative unit placing the order.

(F) CHARGE TO DEPARTMENT OR DIVISION OF - Enter the name of the Department or administrative unit to whose budget the order to be charged. This should correspond to the Account Number, Item (G).

(G) ACCOUNT NUMBER - Enter the budgeted account number to which the order will be charged.

(H) AUTHORIZED SIGNATURE - To be signed by the head of the Department or division whose funds are being committed.

(I)-(N) Enter these items from the Central Stores Price Listing of items in stock at Central Stores.

912.0301 Route and Distribution of Forms

Normal procurement channels for approvals must be used for routing the Central Stores Purchase Request. The ordering Department/Unit retains the blue copy for its files and forwards the remaining four (4) copies to the Fiscal Affairs Office. After approval by the Vice President for Fiscal Affairs or his designee, these approved four (4) copies are forwarded to the Financial Operations Department, which then forwards all copies to the Procurement Office for the signature of the Director. The Procurement Office then retains the yellow copy for its file and forwards the white and burnt orange copies to the Central Stores Division for filling of the order and the pink copy to the Accounting Department.

913 CENTRAL STORES (RECEIVING) POLICIES

913.01 FUNCTION OF CENTRAL STORES (RECEIVING)

Central Stores (Receiving) exists to perform receipt, inspection, delivery, shipping, certain claims processing, and temporary storage (pending delivery to Departments/Units) of items ordered with

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Purchase Orders. A properly signed Receiving Report is required by the Board of Regents Business Procedures for processing payments.

Central Stores (Receiving) is not authorized to accept personal shipments for University personnel. The individual ordering such items must be sure to direct the company to ship the items directly to the individual at his or her home or office address.

The Central Stores (Receiving) Section is designed to:

- Provide fast delivery of materials received;
- Maximize accuracy in delivery to individuals and to locations stated on the Purchase Order;
- Reduce congestion and number of carriers and vehicles traveling throughout the campus;
- Document accurately the receiving date and condition of items;
- Expedite payment of invoices and freight charges;
- Provide delivery status information to the Procurement Office, which will contact the supplier when delivery is overdue;
- Handle outbound shipping of University materials, including handling of Federal Express and United Parcel Services items;

Handle freight claim reporting on damaged or shorted shipments; and Provide short-term storage of received items.

913.02 RECEIVING POLICIES

Centralized receiving will be performed for all University Departments/Units and Offices except those staffed for specific purchasing functions and having receiving facilities (e.g., Food Service, Library, Bookstore). Before delivery to the requesting Department/Unit, Central Stores (Receiving) must receive all other items purchased through the Procurement Office.

913.0201 Exceptions to Centralized Receiving Requirements

913.020101 Items for Departments/Units with Delegated Authority to Purchase The following delivery locations are not required to be routed through Central Stores (Receiving):

Orders placed by the Library,
Orders placed by the Bookstore,
Physical Plant items to be delivered to designated areas at construction sites for Public Works contracts,
Professional services contracts which are listed as exempt from DOAS regulations, and

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Items for delivery points outside Dougherty County where a location and person are specified on the Request for Purchase.

913.020102 Items not Suitable for Delivery to Central Stores (Receiving) Because of their nature the following categories of orders may be exempted from Central Stores (Receiving) procedures:

Original art work delivered directly to the gallery or installed in an office;
Emergency orders where life or property will be lost or damaged if delivery is delayed;
Items ordered on a deliver and install basis, including repair parts installed during repair by a contractor, and rental items;
Gas cylinders;
Gravity fed items such as bulk fuel, concrete mix, or fill dirt;
Controlled drugs that require delivery to a registered pharmacist;
Perishable or live items that require user inspection upon initial receipt of the items;
Subscriptions or other recurring services that are most effectively handled by direct mail to the Department/Unit;
Services that do not include the purchase of products such as repairs, inspections, equipment calibration, and similar items;

Items purchased with petty cash or authorized for Petty Cash Request for Purchase procedures, including Cash on Delivery orders (C.O.D. purchases) processed with Petty Cash or reimbursement procedures;

Advertisement where a tear sheet is provided with the invoice and both are mailed directly to the Accounts Payable Office; and Items received from gifts, donations, surplus property warehouses, or displays for which no Purchase Order exists. See the Property Control section of this manual for property inventory requirements regarding these types of items.

It is essential, for these categories of orders, that the Departments/Units contact Central Stores

(Receiving) at Telephone Extension No. 4710, upon receipt and acceptance of the items, to process

a signed receiving report to the Accounts Payable Office.

913.0202 Authority to Bypass Central Stores (Receiving)

Departments/Units should not pick up Purchase Order items from the supplier's location unless

pre-approved by the Procurement Office. Orders are often issued from competitive bids that require

the supplies to include the delivery cost in the price of the items. When the University picks up these items, other suppliers that bid could claim the University is unfairly favoring a supplier.

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If an item is needed immediately, and is pre-approved for pickup by a Department/Unit, the Department/Unit should either contact Central Stores (Receiving) or bring the items to Central Stores (Receiving) for inspection and verification of specifications.

913.0203 Limited Storage Time

The Central Stores (Receiving) Section will hold deliveries of limited quantities of materials for a maximum of two days only when it is not possible for the requesting Department/Unit to accept receipt immediately. The Department/Unit must arrange for any temporary storage well ahead of delivery of the material and should note this need in the Remarks section of the Request for Purchase.

914 CENTRAL STORES (RECEIVING) PROCEDURES

914.01 SERVICES PERFORMED

The Central Stores (Receiving) Section receives materials and equipment; inspects items received

for quantity, quality, condition and any special specifications as indicated on the Purchase Order;

delivers the material to requesting Department/Unit; ships items returned to vendors; processes

loss, shortage and damage claims to the carriers with notifications to vendors; and coordinates and

consolidates delivery of materials issued from Central Stores.

914.0101 Receipt of Purchased Goods

Unless otherwise specified on the original Purchase Order, all supplies and equipment received at

the University, as a result of action taken by the Procurement Office, must be delivered to Central Stores (Receiving) [except as provided in Sections 913.0201 and 913.0202 of this Manual]. The Procurement Office will route the Receiving Report copy of the Purchase Order to Central Stores (Receiving) for receipt verification. Central Stores (Receiving) will deliver the material to the requesting Department/Unit and acknowledge receipt on a Receiving Report. Central Stores (Receiving) will be responsible for distribution of all documents to ensure prompt and proper completion of files and payment of bills. It will take every precaution to expedite documentation processing so that the University may take advantage of all discounts offered.

914.010101 Shipments Directly to Departments/Units

If a shipment is made directly to a Department/Unit and it is not in an exception category, the Department/Unit should refuse delivery and route it to Central Stores (Receiving). Otherwise, accepting the shipment places full responsibility for all receiving, claims processing, and payment liability on the individual who accepts the shipment. Because the condition of the shipment is not known, Central Stores (Receiving) cannot represent the University if problems arise.

914.010102 Receipt of Equipment

When an equipment item costing over \$1,000.00 requires Property Control identification numbers,

but does not require either initial inspection by the ordering Department/Unit or installation by the vendor, the Property Control Section will affix a decal at the time of receipt in the Central Stores (Receiving) Section.

The Property Control Section, after delivery to a Department/Unit, will account for and decal

equipment purchases requiring installation and adjustment by the vendor, or requiring initial

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inspection by the requesting Department/Unit, and for items that do not lend themselves to being

decayed at the time of receipt. In these instances Central Stores (Receiving) will forward the signed

Receiving Report to Property Control so that the property decal number with the machine model serial number can be noted on the Receiving Report. Examples of these items are scientific and medical instruments, computers and peripherals, audio visual and electronic items and musical instruments. For any other items that the Department/Unit would like to inspect before delivery, it should write "NOTIFY" in the Remarks box of the Request for Purchase Form.

The requesting Department/Unit must notify Property Control of acceptance or rejection of these

items within three days after receipt. Items will be processed for payment unless notification of

rejection is given to Property Control. This is necessary to conform to freight claim procedures,

product guarantee conditions, and payment requirements. Property Control will notify Central Stores

(Receiving), Procurement, and the Accounts Payable Office if an item is rejected.

914.010103 Oversized and Bulky Items

To avoid double handling, large bulky items might not be unloaded at Central Stores (Receiving) but

be moved directly to the requesting Department/Unit. If this type of order is being placed, the

Department/Unit should please note handling requirements on the Request for Purchase form to the

Procurement Office. Such procedures must be arranged in advance with the vendor and proper receiving procedures should be followed at the delivery site.

914.010104 Microcomputer and Related Items

Microcomputer equipment, software, and peripheral items will be delivered to Central Stores. The

Property Control Office will be responsible for all inspection, setup, testing, and delivery of the items

to the requesting Department/Unit.

914.0102 Delivery of Central Stores Requests

Issues of material requested from Central Stores will be consolidated in the Central Stores

(Receiving) Section delivery unit for final delivery to the ordering Department/Unit. Follow-up action

should be directed to Central Stores. The primary delivery document will be the Central Stores Purchase Request document. Copies of the delivery document will be signed by the ordering Department/Unit and returned to Central Stores (Receiving). Microcomputer items in the Central Stores inventory may be delivered to the Property Control Office for testing and installation.

914.0103 Items Requiring Special Handling

Various live, perishable and sensitive commodities will require special processing and expedited

service. Central Stores (Receiving) will take every precaution to protect the commodity being

handled. Central Stores (Receiving) will maintain at the required temperature and expedite delivery

of any items noted to require controlled temperatures or refrigeration; it will deliver live animals to the

destination immediately upon receipt. It will maintain classified items in a security area under the

direct supervision of the Central Stores (Receiving) Supervisor and deliver only to persons authorized

to receive them.

914.0104 Inspection of Materials Received

914.010401 Initial Inspection

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Central Stores (Receiving) will perform an initial visual inspection of all materials and equipment

received by way of commercial carriers. The purpose of this inspection is to discover in the

presence of the carrier's representative any apparent damage to cartons and containers. At the time

the container is unpacked, Central Stores (Receiving) will conduct a more detailed inspection for concealed damage.

914.010402 Final Inspection

Based on specifications contained in the purchase document, Central Stores (Receiving) will conduct an item-by-item final inspection when the shipment is processed for delivery to the requesting Department/Unit. Such inspections will consist of, but not be necessarily limited to, quantity, color, size, type, visual quality, manual skill, and such

other specifications commonly discerned by a lay member. The requesting Department/Unit must conduct detailed inspections of scientific and technical items.

When technical items are received, the final inspection may be performed either at Central Stores

(Receiving) or at the Department/Unit. Central Stores (Receiving) will contact the Department/Unit to

determine the inspection point. The Department/Unit must check all materials within three days and

promptly report discrepancies to Central Stores (Receiving) at Ext. 4710.

A Department/Unit must inspect equipment items received directly from donations, gifts, surplus

property warehouses, and displays, for which there is no Purchase Order. The Department Head is

required by Section 917 of this Manual to report these items so that they can be recorded in Property Control records.

914.0105 Receipt of Items Not Meeting Specifications

To protect the University, all receiving locations must adhere to specific procedures.

914.010501 Rejection Procedures

Items that do not comply with the specifications contained in the Purchase Order must be rejected

at the time of inspection. These items must be placed in a holding area pending processing.

Immediately upon rejection, the person receiving the item must notify both the proper Procurement

personnel and the requesting Department/Unit.

When a Department/Unit performs the final inspection and finds an item to be in noncompliance with the specifications, it must notify Central Stores (Receiving) within three days. Central Stores (Receiving) will pick up these items at its next regularly scheduled delivery.

914.010502 Damaged Material

If the Department/Unit discovers damages during the initial inspection, it must immediately report

such damages to the carrier's representative and Procurement Personnel. The Procurement Office

will contact the supplier. If the Department/Unit discovers damage not visible during the initial

inspection with the carrier but discovered at final inspection, it should report the damage within three

days, or the right to recover losses may be forfeited. If a Department/Unit finds concealed damage

in an equipment item, it must notify the Property Control Section to stop the Receiving Report process.

914.010503 Missing Containers

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While receiving a shipment from a carrier, the recipient should ensure that the total number of

containers listed on the bill of lading or freight bill is actually received before acknowledging receipt.

When cartons or containers are determined to be missing, the actual number of packages received

is to be indicated on the face of the freight bill. The vendor must be notified of the shortage.

Sometimes pallets of material are received in wrapped or protected packaging so that the number of

containers cannot be determined without causing excessive delay in the receiving process. The

receiving Department/Unit must note on the bill of lading that the University is accepting only pallets

and not agreeing to the total number of cartons that might be listed. If the carrier does not agree with this procedure, Central Stores (Receiving) or personnel receiving the shipment must then unpack each pallet and verify the carton count.

914.010504 Shortages in Shipments

When containers are opened for inspection and a quantity count, and a shortage is discovered, it

will constitute a claim against the vendor. Such shortages generally result from an error in packing

unless evidence indicates that the original vendor pack has been tampered with. All shortages

attributed to the vendor should be reported to the vendor. Should evidence indicate tampering, the

carrier should be notified and an investigation requested. Provided a tampering charge is confirmed,

the claims procedures outlined below will be followed.

914.0106 Claims Process

Most shipments to the University are FOB. Albany State University, which requires the shipper to

absorb any losses during shipping. The damaged item, shipping container, packing material and

anything pertinent to the shipment must be held at the inspection point pending an investigation by

the carrier. Upon completion of the investigation and preparation of a Damage Report, Central

Stores (Receiving) will provide the vendor the original of the report, from which the vendor may

initiate a claim against the carrier. The vendor will then arrange for any replacement or return of the

damaged item.

914.0107 Overages and Duplicate Shipments

When containers are opened for inspection, and the quantity count reveals an excessive quantity

shipped, or when a complete duplicate shipment is received, the requesting Department/Unit must

decide whether to retain the additional quantity. It should contact the Procurement Office before

using the excess material so that a Purchase Order correction can be issued, if necessary, to

comply with Georgia law. If a Department/Unit decides to retain the items, the Procurement Office

must prepare a Receiving Report for the additional quantities. The Department/Unit must then sign

this Receiving Report.

914.0108 Deliveries Which Bypass Central Stores (Receiving)

To provide timely invoice payment and to avoid unnecessary delivery follow-up effort, it is essential

that Central Stores (Receiving) receive deliveries scheduled for its site.

Therefore, Departments/Units are requested not to advise vendors to make direct shipment to the Department/Unit if the order calls for delivery to Central Stores (Receiving). In the event a delivery does bypass Central Stores (Receiving) and is accepted by a Department/Unit, the Department/Unit must notify the Central Stores (Receiving) Supervisor at once, so that document processing can be completed promptly. The Central Stores (Receiving)

Section will note on the Receiving Report that the items were not processed through Central Stores

(Receiving) and that the specifications were verified only by the requesting Department/Unit.

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If a Department/Unit picks up merchandise from a vendor, as in a case of an emergency, it should

notify Central Stores (Receiving) promptly so that a Receiving Report can be prepared and payment

made.

If, for any other reason, merchandise is sent directly to a Department/Unit, it must notify Central Stores (Receiving), which will process the Receiving Report.

914.0109 Deliveries by Central Stores (Receiving)

Central Stores (Receiving) is responsible for delivering received goods to the Department/Unit. Central Stores (Receiving) can deliver throughout the campus, all types of material, plants, equipment, and the like. Certain items such as truckload lots and large or heavy items which require special handling may at the discretion of Central Stores (Receiving) be taken directly from Central Stores (Receiving) to the destination by the carrier.

Delivery personnel will uncrate or unpack new equipment and remove the packing materials at the

Department/Unit so that final inspection can be made. Request for final positioning at location and final installation adjustments must be made through the Procurement Office personnel or vendor representatives. Delivery personnel will not unpack routine deliveries of office supplies, paper products, forms, and similar materials. Each Department/Unit must stack and shelve its own materials.

An established schedule helps to ensure a delivery to each Department/Unit any day that items are

at Central Stores (Receiving). Although specific times cannot be assigned, Central Stores (Receiving) will make every effort to maintain a morning delivery schedule and will make routine

deliveries Monday through Friday. If a Department/Unit has an emergency order, the Department

may pick up the items from the supplier. However, this need should be identified on the original

Request for Purchase. The Department can arrange expedited handling, if a critical need develops,

by contacting Central Stores (Receiving) directly.

914.0110 Orders with an Unknown Final Delivery Point

When completing a Request for Purchase, the Department/Unit must show the final point to which

the goods will be delivered by Central Stores (Receiving). Normally, Central Stores (Receiving) will

deliver materials only to the room specified in the Request for Purchase; thus, the Department/Unit

must accomplish distribution to any final delivery point(s). At times the requesting Department/Unit

does not know this final point and another point, such as the office of a Faculty member, is shown.

It is intended, for example, that the shipment will be redirected by the Faculty member when it

arrives. To avoid unnecessary effort and delay in such cases, it would be helpful if the requesting

Department/Unit would place the word "NOTIFY" in the Remarks area of the request so that Central

Stores (Receiving) can call the individual concerned before actually transporting the goods. This

practice should not be used on a routine basis, since it interferes with the timing of normal delivery

schedules and might prevent prompt deliveries from being made to other Departments/Units.

914.0111 Temporary Storage

Normally, Central Stores (Receiving) will deliver all received items to the Department/Unit within

three days from time of receipt unless otherwise notified. Central Stores (Receiving) is not intended

as a storage source; however, on occasion, it may not be possible for a Department/Unit to accept

immediate delivery. In that instance, the shipment may be held in Central Stores (Receiving) on a

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temporary basis. When a Department/Unit foresees such a situation, it should so note on the original Request for Purchase and make advance arrangements by contacting Central Stores (Receiving). Because holding space in Central Stores (Receiving) is limited, Departments/Units must make every effort either to accept all shipments at time of receipt or to accept all temporarily stored material at their earliest opportunity.

914.0112 Freight Bills

All incoming freight bills will be attached to the receiving report and forwarded to the Accounts

Payable Office. In most instances items are shipped to the University with the freight charges

prepaid by the supplier. If items are received on freight collect terms, the collect freight charges can

be handled either on a direct charge basis using the Request for Purchase procedure or with cash

using a Petty Cash procedure. If the use of neither of these is possible, a Purchase Order can be issued to the freight line.

In those instances where the payment of freight for items on a Purchase Order is questionable,

Central Stores (Receiving) will request Procurement to authorize payment of the bill. The charge to

a Department/Unit will be made through the Accounting Office. Should it be determined that the freight was not owed for the item, final adjustment to the payment of the Purchase Order for the items on the freight bill will be made through Procurement and the Accounting Department.

Departments/Unit can get answers to questions concerning freight charges by calling the

Accounting Department, which will make corrections of charges to Departments/Units, if needed, in

the subsequent month.

914.0113 Instructions for Use of Receiving Reports

Receiving Reports are to be used to record receipt of shipments against an order, how the

merchandise arrived, who checked it, to whom it was delivered, the date it was received and other

pertinent information. The University, following the procedure recommended in the Board of Regents

Business Procedures Manual, uses a copy of The Purchase Order document as a Receiving Report.

914.011301 Complete Shipments

A. On the front of the form, the person must show the carrier on which the merchandise was shipped (e.g.,

“UPS Blue Label”) and show the date that the items were accepted from the carrier.

A. If the information is available, he or she must also show the total of the shipping charges and the freight terms, such as “\$5.85/collect.”

A. He or she must show the quantity of each item received in the quantity column of the Receiving Report.

A. He or she must sign the form.

A. Central Stores (Receiving) will deliver the items to the requesting Department/Unit. The person who

accepts complete delivery for the Department/Unit must sign in the space provided and indicate the date the

Department/Unit accepts the delivery.

Central Stores (Receiving) must forward the completed form, along with the freight bills, to the Accounting Department the day following delivery.

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914.011302 Partial Shipments

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A. On the front of the form, the person must show the carrier (e.g., “UPS Blue Label”) on which the

merchandise was shipped.

A. If the information is available he or she must also show the total of the shipping charges and the freight

terms, such as “\$5.85/collect.”

A. He or she must show in the quantity column of the Receiving Report the quantity of each item received

and show the date that the item was accepted from the carrier.

A. He or she must sign the form.

A. Central Stores (Receiving) will make a copy of the Receiving Report and will highlight or circle the items

received in the shipment. When the items are delivered to the requesting Department/Unit, it must sign this copy;

when the order is complete, it must sign the original.

A. Central Stores (Receiving) will deliver the items to the requesting Department/Unit. The person who

accepts delivery for the Department/Unit must sign in the space provided and show the date the Department/Unit

accepts the delivery.

914.0114 Outgoing Shipments

914.011401 Available Methods

Central Stores (Receiving) will process some outgoing shipments which originate within

Departments/Units and are not handled by Campus Mail.

Departments/Units should note that

Campus Mail provides normal United Postal Services functions, including Overnight Express Mail. Central Stores (Receiving) handles Federal Express and UPS (regular and overnight) services. A Department/Unit should call Ext. 4710 about the capabilities of this service.

Shipments may consist of, but are not limited to, materials returned to vendors, grant or loan

material being returned, among others. Materials being shipped may be delivered to Central Stores

(Receiving) by the Department/Unit, or can be picked up by Central Stores (Receiving) when a

Request for Purchase is submitted with the shipment. Freight shipments requiring next day delivery

can be expedited by delivering the package with the Request for Purchase to Central Stores

(Receiving). If an item is too large to deliver (over 50 pounds), the Department/Unit may call Central

Stores (Receiving) to have the item picked up for shipment.

914.011402 Packaging Procedures

Central Stores (Receiving) capabilities for packaging outgoing shipments are limited to providing

paper wadding and cushioning within cardboard containers (packing suitable for parcel post

shipments), for lightweight, low-cube items, marking, labeling and stenciling of addresses. Items which are excessive in weight or high-cube or which require special packing and bracing should be

referred to the Plant Operations Department for construction of the shipping container. Subsequent

to special packing and crating, Central Stores (Receiving) will process the outbound shipment.

914.011403 Documentation

All requests for outgoing shipments must be accompanied by the appropriate Request for Purchase form. The Department/Unit must forward to Central Stores (Receiving) copies of letters, invoices and any documents that accompany the shipment.

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914.011404 Procedure for Routing

Central Stores (Receiving) will determine the mode of transportation to be used unless otherwise

indicated by the Department/Unit originating the shipment. The mode of transportation will be that

which affords the most economical means and the assurance of a timely delivery to the destination,

if such a requirement exists. A combination of modes may be required, depending on the destination. At its disposal the University has truck, air, UPS and parcel post services.

The mode of transportation will be determined according to each individual shipment.

914.011405 Insurance

Existing University insurance does not provide coverage for University property when in transit.

Insurance can be obtained from most carriers to cover the current value of the item.

Central Stores

(Receiving) will arrange for this coverage at the request of the Department/Unit. The cost will be charged to the Department's/Unit's budget.

914.0115 Instructions for Requesting Outgoing Shipping

Departments/Units must use a Request for Purchase for materials that are to be shipped from the

campus but which cannot be shipped through the Campus Mail Service.

The Department/Unit must

forward the completed form to the Central Stores (Receiving) Section, which will call the Procurement Office for a Purchase Order number if the shipment terms are prepaid freight. Departments/Units must call Central Stores (Receiving) to expedite handling of next day freight.

915 EQUIPMENT MOVING SERVICES POLICIES

915.01 ORGANIZATION

Equipment Moving Services (EMS) is organized under and assigned to Logistical Services. EMS

coordinates with Plant Operations to provide Staff and moving equipment. This service requires

close coordination with Central Stores (Receiving), Property Control, and Records Management to

meet the campus needs with a single coordination point. Departments/Units should contact the Logistical Services Office for any questions about this service.

915.02 FUNCTIONS AND RESPONSIBILITIES OF EMS EMS is designed to:

Set up designated facilities on campus for special events scheduled by appropriate administrators;

Provide for Departments/Units a “one-stop” operation for on-campus moving of equipment, material, furniture, boxed items, and the like, including entire offices, essential to the normal operation of the campus. This service is not intended for deliveries or moving outside Dougherty County;

Provide a delivery service for the movement of furniture and office equipment to and from Plant Operations repair shops;

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Maintain a storage area and required records of accountability for serviceable equipment frequently used by various Departments/Units for special events and other standard operations;

Dispose, upon proper authorization by the Records Management Office, of obsolete files as identified by that Office;

Provide a service to move Department/Unit surplus equipment between Departments/Units and/or to a temporary holding area;

Load and unload surplus equipment going to and coming from Albany State University surplus sites and other State agencies or institutions;

Provide support to Central Stores when necessary. Deliver heavy, oversized, and large items (e.g., clay, cement picnic tables, credenzas, desks, cabinets, large orders of forms, and similar items) to the requisitioning/using Department/Unit;

Assemble furniture and related items after delivery to the user;

Provide a service to move pianos, organs, and other large items; and

Arrange with Plant Operations for any additional help required for large or difficult projects.

915.03 BASIC POLICY GOVERNING WHO MAY RECEIVE EQUIPMENT MOVING

SERVICES

It is the policy of the University to provide these services only to University Departments/Units funded through State, Auxiliary, or Student Activities funds.

915.04 EQUIPMENT MOVING SERVICES PROCEDURES

915.0401 Operating Procedures

915.040101 Notification Lead Time

A Department/Unit requesting service must submit a written request (memorandum) at least ten

(10) working days before moving needs. For large events, it must normally submit request thirty to

forty-five (30-45) days prior to such events.

915.040102 Description Required

Requests for events must carry a complete description of the work to be performed so that EMS may determine the equipment and personnel needed to do the work in a safe, efficient manner. The Department/Unit must identify any items to be anchored or detached from the structure of the building so that Plant Operations personnel can approve and assist with the plan.

915.0402 Procedures to Request Services

After indicating on the Request for Purchase Form, "for Equipment Moving," the Department/Unit

must enter the information for its name, account number, approval signature, person coordinating

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the move, his or her phone number, and the date the service is needed. The delivery section must

be signed by the Department/Unit when the task is complete.

915.0403 Requests to Set Up for Events

In the description section of the form, the Department/Unit must enter all information to describe needed services and attach a design describing where and how stages and chairs should be arranged. The Coordinator of the event should have full understanding of the

setup. EMS will return all requests received for events requiring setups, if such requests do not have sufficient information or a layout of the setup attached. EMS will take no further action until it receives all pertinent information.

Time does not permit the building of the same setup two or three times because of indecision. The

person or persons requesting the event must draw the layout and submit it to EMS in its final form so that scheduled requests from other Departments/Units can be completed on time.

915.0404 Requests for Department/Unit Moves or Other Moving Tasks

A. The Department/Unit requesting the move must include all room numbers that are involved in the move.

A. The Department/Unit must be sure that all books are boxed and sealed with appropriate carton sealing

tape. The name of the Department/Unit person, with the room number of the destination building, must be printed on

the top and one side of each carton. Unpacked books will not be moved. Packing cartons must be provided by each

Department/Unit. A piece of tape showing the destination room number and the building should be placed on all

equipment, boxes, and furniture. Desks, bookcases, and file cabinets should be emptied and contents packed in

boxes.

A. The Head of each Department/Unit is responsible for all equipment assigned to his or her area. The

Head or his or her designated Inventory Coordinator must provide the Property Control Section with the necessary

information about any changes in location of property. This must be provided in the manner described in the

Property Control Section (917) of this Manual. Assignment of a Department/Unit Inventory Control Officer to perform

such duties does not relieve the Department/Unit Head of the responsibility.

A. Requests from sororities, fraternities and other non budgeted groups must include the name and

complete address of the coordinator so that proper billings can be made. These requests must be approved by the

Vice President for Fiscal Affairs since these will usually require the use of State personnel and property for non-

State functions.

916 PROPERTY CONTROL POLICIES

916.01 ORGANIZATION

The Property Control Section of Logistical Services is responsible for recording and reporting

acquisitions, placing decals on equipment, recording the internal movement of equipment, recording

dispositions of equipment and verifying and preparing reports of periodic inventories.

916.02 STATE LAWS

Laws of the State of Georgia (Georgia Code Annotated 50-5-59; 50-16-160) 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

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maintain a perpetual inventory of all movable equipment. This inventory must be kept current and available for inspection. Detailed changes must be filed periodically with the Personal Property Management Section of DOAS.

916.03 BOARD OF REGENTS POLICY

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

“Each institution must collect the initial data to be forwarded to the Central Section. This data is to be checked periodically by a physical count. This is to be accomplished on a cyclical schedule so that a physical count is made of each item at least annually.” (See BR Business Procedures Manual, Vol. 1 Revised, Accounting Procedures and Instructions, Section I, page 40.)

916.04 ALBANY STATE UNIVERSITY POLICY

The Property Control Section of the Logistical Services Division is responsible for maintaining a

perpetual central inventory from information provided continually by the various Departments/Units

and from annual inventories also provided by the Departments/Units for verification. The Property Control Section records acquisitions, affixes decals to equipment, records dispositions of equipment and verifies and prepares reports of periodic inventories.

916.05 DEFINITION OF EQUIPMENT ITEMS

916.0501 Inventoried Equipment

All items meeting the following definition must be placed on the University's inventory records despite the source of receipt or funding.

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A. Inventoried equipment items are those non consumable items which:

Do not fasten to the building;

Are not plumbed or permanently wired or attached to another piece of existing equipment;

Are not fragile with normal handling (not made of glass or easily breakable material);

Are portable to be moved or used with another piece of equipment;

Are located externally of another piece of equipment in the event the item plugs to other equipment;

Have an acquisition value of \$1000.00 or more. When Federal funds are used to pay for any percentage of the cost of an equipment item then this dollar value becomes \$500.00 (GA. Code Annotated 50-16-161); and May be expected to be in service for a minimum useful life of three or more years.

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A. The following definition helps to clarify the equipment classification of items purchased as a system:

“A system of components that cannot be used independently of a system, should be classified as inventoried equipment when the system cost is over \$1000.00 and the components meet the other listed criteria for equipment. Examples of this are microcomputer systems, audio amplification and broadcast systems, and video editing systems.”

916.0502 Non Inventoried Equipment

Non inventoried equipment is any item that meets the definition for inventoried equipment except the

value is less than \$1000.00 (\$500.00 for Federally-funded purchases).

These items are not required

to be on the master inventory listing of the University in the Property Control Section.

916.0503 Exceptions

The following are the items that are inventory controlled without regard to the \$1000 minimum cost:

Books (Library) - only if procured through Library Accounts and catalogued by the Library;

(NOTE: For those books classified as equipment, the Property Control Section will not maintain individual records but will maintain an entry reflecting the total dollar value of capitalized books based on information from the Financial Operations Department. All other books procured by University Departments/Units will be classified as operating supplies.);

Firearms;

Original works of art; and

Other: Classroom furniture, dormitory furniture, seating, stools or large quantities of furniture in public areas and classrooms. These items are not listed individually by Property Control but are added to the inventory records by total amount of purchase order. The purchase order total must be over \$1000 for these types of items to be added in this manner. One inventory number will be assigned and these items will be tagged with an unnumbered identification tag.

916.06 ITEMS RECEIVED AS GIFTS

Items received as gifts should be assigned a value based on either the value established by the

donor or at the estimated fair market value. The fair market value can be estimated from a recorded

price of a similar item previously reported or such other sources of information as may be available

locally. When the estimated cost is \$1000.00 or more, the Department/Unit must contact Property

Control, and provide the appropriate documents to show the source and value of the gift, to have the

item added to the property records.

Note: Gifts of EDP, telecommunications, records management, copier, printing, motor vehicle

items, or hazardous materials require the same special approvals as are necessary as if the items

are being purchased.

916.07 ITEMS RECEIVED FROM SURPLUS WAREHOUSES

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Equipment received from Federal or State Agencies must be placed on the inventory records at the

greater of either the actual cost on the issue invoice or an estimated value, but only if either value is

over \$1000.

916.08 DEPARTMENT/UNIT 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. This responsibility is for inventoried, non inventoried, and supply items. Although this basic responsibility

cannot be delegated, each Dean, Director, Department Head or other Administrator may appoint a

person, who is presently employed, to be the Department's/Unit's Equipment Inventory Coordinator.

This person is responsible for the following:

A. Department/Unit procedures related to equipment and non inventoried equipment. The Property Control

Office will complete the initial registration with the manufacturer to validate warranties. The Inventory Coordinator

may assist in initiating claims on warranties/repairs; however, the Property Control Officer will contact the company,

and then, if necessary under the repairs and outgoing shipping procedures of this Manual, contact the Procurement

Office to coordinate picking up the item so that it can be shipped for repair or replacement. If equipment is not under

warranty, the Coordinator must refer to the appropriate section of this Manual for initiating repairs (Section 908.03);

A. Notification to the University's Property Control Section of any acquisition, gifts of property received, disposal or transfer of equipment;

A. Completion of an annual physical inventory for the Department/Unit, and assistance to the Property

Control Office with its audit of Department/Unit inventory;

A. Coordination of the equipment key control program with Plant Operations Department; and

A. Notification to Media Services of the acquisition of any video or audiovisual item so that parts for routine

repairs of the item can be planned.

916.09 SURPLUS PROPERTY POLICY

The laws of the State of Georgia require that all property, inventoried, non inventoried, and supplies,

be disposed of through the Surplus Property system of the State. Property Control will work with DOAS and University personnel to meet the requirements of these laws and regulations. Each Department/Unit Head is accountable to the President for all property assigned to the respective Department/Unit. The appropriate Administrator or Inventory Coordinator is also responsible for notifying the Property Control Section on any acquisition, disposal or transfer of equipment.

916.10 USE OF STATE PROPERTY

The Policy Manual of 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 is for other than institutional programs.”

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916.11 PERSONAL EQUIPMENT USED BY A UNIVERSITY EMPLOYEE

Any items of personal equipment used on campus and/or in connection with an employee's

University duties and 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. Within this policy, the University cannot transport or repair items that

are not University owned. The Department/Unit Head approving expenditures for these transactions

becomes personally responsible for any costs incurred by the University.

917 PROPERTY CONTROL PROCEDURES

917.01 IDENTIFICATION OF INVENTORIED EQUIPMENT

The Property Control Section will assign a University identification number to inventoried equipment.

This number will be engraved or be on an affixed decal, usually applied at Central Stores

(Receiving) at the time of receipt. See Central Stores (Receiving) Section (Section 913.0201) of this

Manual for information about exceptions to this procedure.

917.02 IDENTIFICATION OF NON INVENTORIED EQUIPMENT

Albany State University property decals without an identification number will be made available to Departments/Units for equipment costing under \$1000. The Department/Unit Head or Inventory Coordinator must place this decal on non inventoried equipment at time of receipt. This decal will assist the University in identifying University property.

917.03 DEPARTMENT/UNIT INVENTORY REQUIREMENTS

917.0301 Inventoried Equipment

The Department/Unit Head or his or her Inventory Coordinator will maintain a perpetual inventory of all inventoried and non inventoried equipment assigned to the Department/Unit Office. For inventoried equipment the following information should be maintained:

Description of equipment including model number,
Serial number,

University (ALBANY STATE UNIVERSITY) property decal number when applicable, Building and room location of the equipment, Transaction date (Date received by Department/Unit), and Purchase Order Number.

The Property Control Section must be notified of receipt of any equipment that does not have an Albany State University property decal number and which should be in the property records.

917.0302 Non Inventoried Equipment

A list of items that would normally be classified as equipment (those items that meet the definition

for equipment in the Section 916.05 except that they cost between \$100.00 and \$1000.00) must be

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maintained by the Department/Unit Head, or his or her Inventory Coordinator, for Department/Unit use. The following information should be maintained:

Description of item, including model number,
Serial number,
Building and room location of the item,
Transaction date (Date received by Department/Unit), and
Purchase Order Number

917.04 WARRANTIES AND REPAIRS

The Property Control Office will complete the initial registration with the manufacturer to validate

warranties and will initiate claims on warranties or repairs by contacting the company to arrange for

return and repair authorizations, and then will contact Logistical Services Department to pick up the

equipment to be shipped for repair or replacement. If the equipment is not under warranty, the Department/Unit must refer to the procedure under the Purchasing Section (Section 908.0310.) of this Manual for initiating repairs.

917.05 ACQUISITION OF PROPERTY RECEIVED THROUGH GIFTS OR SURPLUS The Department/Unit Head is responsible for notifying the Property Control Section of any acquisition of equipment through gifts or from State or Federal surplus facilities. If the item is from Surplus Warehouses, he or she must attach the copy of the State Transfer form to the notification.

(NOTE: If a freight charge will be billed to the University by a company, for the transportation of any

gifts, then such charges must be processed through the Request for Purchase Procedures, with the

estimated freight cost listed and charged to “other operating expenses” category. The description of

the gift and the value should be entered in the description section of the form with a unit cost showing “gift.”)

917.06 (NOT USED)

917.07 ANNUAL INVENTORY

The Department/Unit Head responsible for conducting an annual inventory of inventoried and non

inventoried equipment must conduct the inventory when specified by the Property Control Section.

The Property Control Section will provide a listing of the equipment charged to the Department/Unit.

The listing should be verified by an actual inventory conducted by the Head of the Department/Unit

and/or the Inventory Coordinator. A listing of discrepancies should be noted on the original

equipment listing. The listing should then be signed by the Department/Unit Head and forwarded to

the Property Control Section. The Property Control Section will then contact the Department/Unit and perform an audit with the Department/Unit.

After completing the reconciliation, the Property Control Section will prepare an itemized

Department/Unit inventory list showing the total dollar amount of the gain or loss in inventory. This

report will be sent to the appropriate Department/Unit Head and Logistical Services.

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The Department/Unit must immediately notify the Property Control section and the Public Safety

Director of any items stolen or damaged by malicious acts. The Property Control Section will inform

Public Safety of any missing items after the annual audit with a Department/Unit. If an item is again

not located during the annual inventory in the following year, Public Safety will be advised that the item is presumed lost or stolen, and it will be removed from the inventory records.

917.08 SURPLUS PROPERTY PROCEDURES

Property and usable supplies that are, for any reason, surplus to a Department/Unit may be disposed of by contacting the Property Control Section. If assistance in moving items is needed, a time will be scheduled for pickup and transfer of surplus property as requested. Following completion, the property will be deleted from the inventory records of that Department/Unit and added to the inventory records of the "gaining" Department/Unit. Serviceable equipment will be placed in the unassigned property section for future use.

Departments/Units may select from these items that will then be transferred to them at no charge. If

it is determined that the property is obsolete, excessive or of no value to Albany State University, it

will be transferred to one of the DOAS surplus warehouses.

917.0801 Disposal of Surplus

The 1968 Surplus Property Act makes it a misdemeanor for a State employee to violate the Act

with respect to equipment or supplies valued at less than \$100, and a felony (punishable by at least

one year imprisonment) for a violation affecting equipment or supplies valued at \$100 or more.

917.080101 Disposal of Surplus Equipment

The Property Control Section is responsible for coordinating the disposal of all surplus, obsolete, or

unusable University equipment. Departments/Units must not dispose of equipment items, even if broken beyond normal recognition, except through either the Unassigned Property procedures, described in Section 917.0802 below, or by trade-in through Request for Purchase procedures.

917.080102 Disposal of Usable Surplus Supplies

New or usable supplies that are surplus to Department/Unit needs must be disposed of through Property Control. Departments/Units having unusable supplies should dispose of them as trash.

917.0802 Unassigned Property

917.080201 Organization

Unassigned property is any accumulated item that is excess to the needs of a Department/Unit. Property Control will screen these items to determine condition and disposition, hold in storage those items fit for reissue, reissue items as needs arise, dispose of items that are excess to the needs of the University or scrap items that are not economically repairable. The Director of Logistical Services is responsible for this operation, while the Property Control Section is responsible for day-to-day management.

917.080202 Responsibility

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So that the University may be relieved of accountability for surplus items, the University must dispose of such items through the State Property Section. The simplest method of accomplishing this is by use of the University's Unassignable Property Section, since any items not redistributed within the University will automatically be reported to the State Property Section. 917.080203 Procedure to Transfer From Departments/Units to Unassigned Property Departments/Units having equipment that is obsolete, excess to their needs, unsafe or unserviceable for further use, or not usable in its present condition, may report this equipment to Property Control to arrange for its transfer from the Department/Unit to the Unassigned Property section. Departments/Units having unusable supplies should dispose of them as trash. The Property Control Section will prepare appropriate transfer documentation.

917.080204 Property Control Classification of Unassigned Property

Items will be classified by the Property Section and disposed of as indicated in the following:

Type of Equipment and Action Taken

Equipment unserviceable and beyond repair: turned into Surplus Pool for sale or destruction;

Equipment usable without repair: stored and made available to University Departments/Units;

Furniture, usable with repair: reconditioned with funds provided by the requisitioning Department/Unit;

Other equipment, usable with repair: made available to University Departments/units “as is”; and Equipment excess to needs of University: reported to the State Property Section for disposition instructions.

If the value of the items is less than \$500.00, Property Control can obtain three quotes and attempt

to sell the products for the University. If the value is over \$500.00, the items must be processed through the Surplus Property system of DOAS.

917.080205 Transfer of Items to Departments/Units From Unassigned Property
Unassigned Property will hold and make available to Departments/Units any items held. All Departments/Units may arrange for the transfer of items to their respective Departments/Units by contacting the Property Control Section. The Property Control Section will prepare appropriate transfer documentation.

917.0803 Trade-ins of Items

State Purchasing will closely review requests for trade-ins of equipment items against the purchase

of similar equipment and will occasionally permit trade-ins if the item to be traded cannot be

transferred to another State agency or sold for more than the trade-in value. A

Department/Unit

contemplating the possibility of trading used equipment on the purchase of new equipment should

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first consult the Procurement Office. If the trade is permitted by DOAS, the Department/Unit must

show on the Request for Purchase a description on the equipment to be traded, including the year

of manufacture, model number, serial number, condition and University inventory number. Generally, supplies cannot be traded. In specific instances where such might be desirable, the Department/Unit must contact the Procurement Office for further information.

917.0804 Federal and State Surplus Warehouses

917.080401 Authorization to Visit

To visit and purchase from one of the Surplus Property Warehouses, an individual must have a written pass issued by the Property Control Section, on an individual basis, to Staff or Faculty members recommended by their Department/Unit Heads. The pass is good for only one visit on a specified day.

917.080402 Organization of Surplus Warehouses

The Division of Materials Management, Surplus Property Warehouse, of DOAS is an agency of the

State of Georgia, established to receive and distribute Federal and State surplus property. It deals

with Federal agencies, including the Armed Services, to receive surplus property. It also deals with eligible public and private institutions and agencies to distribute the property it has received.

Technically the distribution of Federal property is a donation, not a sale; processing and handling

charges are made so that operational costs can be recovered by the Division of Materials

Management (DMM). To assure DMM that the best use will be obtained, the Federal property thus

transferred has such restrictions placed on it as the time limit to place the property in use and a

period of use. Most items must be put into use within one year or the University can be fined; once

use begins, equipment cannot be dismantled without prior authorization.

DMM also handles State surplus property, the use of which is unrestricted as long as it is being

used by the agency for normal purposes. In order for the DMM to obtain information about the use of

surplus property, it conducts periodic audits of the University. 917.080403 Location of Surplus Warehouses The location of the nearest Surplus Warehouse is:

Georgia State Agency for Surplus Property
South Georgia Trade & Vocational School
Route 1,
Americus, GA
Gist: 345-1330

Other Surplus Warehouses are:

Division of Materials Management, DOAS
Kite Road
Swainsboro, GA
Telephone: (912) 237-8965; and
Georgia State Agency for Surplus Property

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1050 Murphy Avenue, SW
Atlanta, Georgia 30301
Telephone: 404-656-2681

Telephone calls to a warehouse are advised if an individual intends to visit. The

Warehouses are normally open from 8:00 a.m. to 4:00 p.m., Monday through Friday. However, they are not open on

Saturdays, Sundays or holidays. Before planning a trip, the Department/Unit should confirm the time.

917.080404 Charges for Surplus Property

The Department/Unit must forward a copy of the Surplus Warehouse Issue Sheet and Invoice form

to Property Control, within forty-eight (48) hours after returning from the Surplus Warehouse. For the material purchased from the Surplus Warehouse, the Financial Operations Department will make charges directly to the account number of the Department/Unit making the purchases, as reflected in the information provided by the request and invoice. In the event that the person does not bring back the surplus property, a Request for Purchase must be approved before the Department/Unit can obtain the items and the Surplus Warehouse Issue Sheet.

917.09 TRANSFER OF EQUIPMENT PROCEDURES

A Department/Unit must notify Property 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. If a Department/Unit remains accountable for an item, and

equipment is only being moved to a new room in the same building, the Department/Unit Inventory

Coordinator needs to maintain an internal record of the room change.

To document a transfer or movement, the Department/Unit must give the Property Control Section

written notification of such transfer or movement. When a Department/Unit needs assistance in

moving or transporting items, the Inventory Section of Logistical Services, after proper notification,

will arrange with the Department/Unit a time for the pick up and delivery of the items.

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1000 AUXILIARY SERVICES

1001 GENERAL

Auxiliary Services are under the direct supervision and management of the Director of Auxiliary Services which reports to the Vice President for Fiscal Affairs. These services provide auxiliary support services to Students, Faculty, and Staff members of the University, while serving the general public incidentally. Board of Regents Policy requires that Auxiliary Services be totally self-supporting; thus, no State funds are allocated to them in any way. In accordance with this policy and based upon the square footage of space occupied, Auxiliary Services at Albany State University are charged a percentage of plant operations and maintenance costs and other indirect operating costs of the University. These areas are subject to all rules, regulations, policies and procedures of the University System of Georgia.

1002 OBJECTIVE

Auxiliary Services, through effective management and prudent procurement functions, are committed to providing optimum user products and services at the lowest possible cost, while maintaining quality, value and attentive, courteous service.

1003 ORGANIZATION AND FUNCTION

Although the kinds and scope of auxiliary services may vary according to need, currently those at

Albany State University include the Bookstore, Food Services, Student Housing, Health Services,

Central Laundry Services, Day Care Centers, and Vending Services. Student programs relating to

Student Housing report operationally to the Vice President for Student Affairs and fiscal operations

report to the Vice President for Fiscal Affairs. The organizational charts for Fiscal Affairs, Exhibits 103.01-1 through 103.04-8, display the organizational structure for Auxiliary Services.

1004 BOOKSTORE

The Bookstore provides to the University's Students, Faculty, and Staff self-service purchase of required classroom items, supplemental materials, computer supplies, learning aids, art supplies, and general school supplies. The Bookstore also stocks recreational reading materials, greeting cards, posters, jewelry, calculators, University mementos and souvenirs, a variety of dry goods items, and fraternity and sorority items.

The Bookstore reserves the right to make its merchandise and services available to outside individuals and/or entities only if sales do not interfere with the normal operation of the University.

1004.01 MISSION

The mission of the Albany State University Bookstore is to support the academic and administrative goals of Albany State University. As an Auxiliary Services entity it exists to provide a source of materials and services required by the various academic and administrative functions of the University. It exists to provide exemplary customer service to students, faculty, administrative staff and others it serves. The role of this Auxiliary Service is to provide appropriate goods and services at reasonable and competitive prices, to help develop and maintain an effective learning environment, to provide learning opportunities, to reflect an institutional image of competence and quality, to encourage cooperative relations within the University community, to provide advice, services and resources that are appropriate to educational needs, to generate income that can

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augment University resources, to contribute to the strengthening of University identity, and to acknowledge and support the cultural diversity of the University. In executing this role, the Bookstore is committed to effective leadership and management, high quality of innovation, and a projection of an image of dignity and service.

The Bookstore reserves the right to make its merchandise and services available to outside individuals and/or entities only if sales do not interfere with the normal operation of the University.

1004.02 GENERAL STATEMENT OF POLICY

Books and merchandise carried are selected in support of the basic mission, with appropriateness,

quality, demand and need being the primary considerations. To the degree possible, merchandise

is sold at the lowest prices consistent with:

Providing first for the operating budget needs, capital equipment replacement reserves and liquidity of a solvent retailing organization through retained earnings; and then for a source of income that can augment University resources in appropriate areas, The ability to secure favorable pricing through judicious buying and inventory management, Providing the best possible quality

merchandise and service of the highest order consistent with the quality of the University and the needs and demands of a University community, and Not knowingly participating in, indeed, taking steps to avoid, any predatory practices by selling inferior or unsafe merchandise, or in unfair pricing structures.

Because the quality of student services is one factor in the attraction and retention of students, the

Bookstore will strive to achieve the highest possible order of excellence and to become a feature of

the University to which the members of the community point with pride.

Acknowledging that people who comprise the staff of the store are its most important asset, it will

be the continuing objective to hire and develop individuals who are knowledgeable, willing,

competent, customer-oriented employees; to make each job situation meaningful, safe and

productive; and to provide a comfortable and stimulating environment in which to collectively pursue

our goals of excellence.

Meeting the basic philosophy, goals and objectives require a continual reaching past the minimum

standard toward an always elusive, but ever present, goal of excellence.

1004.03 CUSTOMER SERVICE

1004.0301 Philosophy

The following piece by *C.A. Kirkpatrick* is adopted as the Bookstore's general philosophy of customer service:

CUSTOMERS . . . are the most important persons in any business.

CUSTOMERS . . . are not dependent on us, we are dependent on them.

CUSTOMERS . . . are not an interruption of our work, they are the purpose of it.

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CUSTOMERS . . . do us a favor when they call, we are not doing them a favor by serving them.

CUSTOMERS . . . are a part of our business, not outsiders. CUSTOMERS . . . are not cold statistics, they are flesh and blood human beings with feelings and emotions like our own.

CUSTOMERS . . . are not someone to argue with, but to help.

CUSTOMERS . . . are people who bring us their needs and it is our job to fill those needs. CUSTOMERS . . . are deserving of the most courteous and attentive treatment we can give.

CUSTOMERS . . . are the people who make it possible to earn our salary.

CUSTOMERS . . . are the lifeblood of our business.

1004.0302 Guidelines for Interacting with Customers

- Customers always take precedence over other duties.
- Establish eye contact, smile, say “hello.”
- Always approach customers in a polite, courteous, and a receptive manner. If you are busy with another customer, assure the waiting customer that you are aware of his or her presence and that you will be with him or her in just a moment.
- Find out what your customer’s concerns, needs, and wants are by asking open-ended, factfinding

questions and listening carefully to the answers.

- Focus on what can be done, not what can’t be done.
- If you are asked a question and are unsure of the answer, seek assistance from a supervisor or co-worker.
- Stay with the customer until the problem is solved.
- Above all, ask yourself “How would I like to be treated if I were the customer?”

1004.0303 Guidelines for Handling Special Situations

A. Handling the Difficult or Dissatisfied Customer

The following comes from the *NCR Corporation* and is adopted as policy guidelines for handling the difficult or dissatisfied customer:

DISARMING TOUGH CUSTOMERS

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“Occasionally, as a sales person or one involved with customer service, you may have a customer who is upset over service, merchandise, or other problems. This section deals with the best and most effective method to deal with tough customers.

“Show Complete Empathy

Try to avoid defensiveness, arguments, or buck passing, even if the customer is dead wrong! Rather, agree forcefully; say something like, “Well, Mr. Smith, it surely seems you have every reason to be angry! Let’s see what can be done about this problem right now.” Keep in mind the anger really isn’t directed at you personally, your customer just expects that you will be on the defensive. But, when you emphatically agree with them, you truly disarm the customer and can get started fixing up the damage that much sooner.

“Keep Your Cool and Show Politeness

Keep your objectivity; it takes a little restraint. However, if you ignore the anger, you will most likely disarm them quickly and completely. Remember to thank him or her for coming back in and for letting you know about the problem. It is very important to rephrase each item of information. This allows the customer a chance to correct and tone down a previous statement; also, it may help you to better define the problem. This is a form of agreement, and in the end, agreement is what disarming is all about.

“What Would They Like You to Do?

A good old standby that is almost sure to work on even the most hostile customer is asking what they would like you to do. Not only that, the customer will usually request less than what you could offer them. What really makes this work is that you give the customer the option of defining the terms, rather than being forced into yours. However, remember to do this as quickly as possible. Don't let it appear that you did so as a last resort and not because you truly wanted to cooperate.

“What About Your Co-workers?

Now that you can deal with your customers, remember that store people you deal with are “customers” too. In different ways, each of them makes the wheels go around. Often, you need their cooperation to do your job. Work with them as you would your own customers, make allowances for their problems, support them and accept their occasional blow ups. This is all part of teamwork and a part of winning!”

1. Referring a Complaint to a Supervisor or the Bookstore Manager
When all else fails or in cases where the customer is asking for a solution that the employee cannot authorize or becomes verbally abusive, the employee should refer the complaint to a senior employee or supervisor (usually the Bookstore Manager). In all cases, the employee should remain calm as possible and should refrain from saying anything or making gestures that the customer could construe as threatening.
2. Calling for Security Officer
In extreme cases, the University Public Safety Department, Telephone No. 430-4711, will

be called and assistance requested. The Bookstore Manager is responsible for

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familiarizing each employee with a predetermined code that informs others that the Public Safety Department is to be called.

- B. Customer Service for People with Disabilities

The following are policy guidelines for providing optimum service to customers with disabilities:

Blind and Visually Impaired Persons

Do not shout. A blind or visually impaired customer has difficulty with sight, not hearing. Don't worry about using words such as "look" or "see." Talk as you would to anyone else. These "blindisms" are part of the English language and are generally taken as such by the disabled individual.

Ask what you can do to help. Do not just take the person's arm and steer them around. Ask first if they need assistance and then ask how to help. Speak directly to the disabled individual. Do not direct conversation to those attending near or with the disabled person as if he or she were not there.

Deaf or Hearing-impaired Persons

Speak directly to the individual even if they are with an interpreter. Face a hearing-impaired person when you speak. Do not mumble but speak normally and do not exaggerate lip movements. If you do not understand something said, ask them to repeat it. If after several tries you still cannot understand, ask them to write it. The reverse is also true. If a deaf or hearing-impaired person cannot understand what you are saying, write it down. The main objective in any conversation is understanding.

Persons Who Use Wheelchairs

When speaking to someone using a wheelchair, if the conversation continues for more than a few minutes, sit, kneel, or squat if convenient. People are not "confined" to wheelchairs nor are they "wheelchair people." Refrain from patting a person using a wheelchair on the head. While it may seem natural and certainly not meant to offend, this can be very demeaning.

Learning Disabled Persons

A learning disability is an invisible disability. It is a valid disability though it cannot be seen.

Learning disability does not mean retarded. Do not treat the learning disabled as if they were.

A person with a learning disability has trouble (generally) communicating with the written word.

This means difficulty with reading and writing.

Speech Impaired Persons

If a person is speech impaired, the key word is patience. If they are having difficulty conveying their message, do not finish their sentence for them. Do not be afraid to ask them to repeat themselves or resort to writing if necessary.

In general, treat the disabled as individuals. Do not assume anything.

C. Customer Service for International Students, Faculty, or Others

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The following policy guidelines are to be used with international customers to provide them with the best possible service:

Different cultures have different standards for “proper” behavior. For example, in many Asian countries it is considered bad manners to look a person in the eye, while in this country it is considered evidence of honesty and good will;

People who speak another language are not deaf. When dealing with an international student, speak in a normal tone;

Many international students are better at writing English than at speaking it. If all else fails, ask the customer to write down the request; and Friendliness and a sincere willingness to listen and help will go a long way toward bridging cultural or language barriers.

1004.04 EMPLOYEE STANDARDS

1004.0401 Equal Employment Opportunity and Affirmative Action Albany State University’s Office of Human Resources Management publishes, distributes, and

oversees the University’s plans, policies, and procedures documents relating to Equal Employment

Opportunity and Affirmative Action. The Bookstore is committed to full application and support of all

such plans, policies, procedures, rules, regulations, laws, etc. about this matter.

Briefly stated, it is the policy of the Bookstore not to discriminate against minorities, women, nor

physically or mentally handicapped with respect to recruitment, hiring, training, promotion, nor any

other terms and conditions of employment. Employment opportunities are open to all qualified persons solely on the basis of their experience, aptitude, and abilities. Further, the Bookstore is committed to carrying out the University’s affirmative action plan in regard to this subject.

1004.0402 Sexual Harassment

The Bookstore will vigorously enforce the University’s published policy in this matter. Sexual harassment of any kind will not be tolerated.

1004.0403 Work Schedule

A. Work Week

A full work week for employees of the Bookstore consists of forty (40) hours per week. Normally, the Bookstore is open Monday, Thursday and

Friday from 9:00 a.m. to 4:30 p.m. and Tuesday and Wednesday from 9:00 a.m. to 6:00 p.m. Prior to and between semesters and during University holiday periods the Bookstore may publish and abide by special hours for operations. These “special hours” of operation are publicized in the Registration Manual of the Office of Admissions and Financial Aid and/or by other means, as appropriate. During certain special events (Homecoming, for example), the Bookstore may open at certain additional times. In order to have optimum coverage of the duties and functions of the full-time employee staff, the Bookstore Manager schedules and approves flex-time schedules of work for full-time employees to ensure that each employee works the full forty hours per week.

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Part-time employees and student employees are scheduled to work according to work loads and needs. Each is informed of his or her probable schedule at employment. As far as practicable, specific schedules for each such employee are coordinated and decided at least one week in advance. These schedules are posted in the Bookstore.

The following policies apply to all employees:

Employees are expected to be at their work stations and working by the start of their assigned shifts.

Employees are expected to remain for the duration of their shifts, or until relieved by replacements or store closing.

There is to be no deviation from work schedules without prior approval from the Bookstore Manager or his or her designee.

Employees should always ask their supervisor for permission to leave their work area.

B. Lunch Periods

Because the Bookstore is open continuously from opening to closing, and since continuous service must be provided to customers, lunch breaks must be staggered. The Bookstore Manager will coordinate schedules and approve all such lunch periods.

C. Rush Periods

During the registration period at the beginning of each academic term or semester when students are buying books and supplies for that term, employees will experience a busy and hectic time. Because of increased traffic and customer service needs, the Bookstore will usually schedule additional workers, and/or will extend the hours worked. Thus, the following policies apply:

With rare exceptions, time off (annual leave) cannot be granted during the rush periods (term openings, heavy book delivery and stocking, inventories, etc.). Lunch periods may be shortened or rescheduled.

Announcement of the dates for such rush periods and the resulting schedule changes will be made well in advance so that employees can arrange to comply fully with the schedule requirements.

D. Tardiness and Absenteeism

Employees are scheduled to work specific hours to meet established, specific objectives, and customers and co-workers depend on them to be available at the scheduled times. Tardiness and other forms of absenteeism place additional stress on other employees who are called upon to take up the slack. The University's policies and procedures concerning tardiness and all forms of absenteeism will be strictly enforced, to include appropriate progressive discipline.

1004.0404 Appropriate Dress

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Because Bookstore employees may be the only contact that many visitors have with the University,

it is essential that Bookstore employees represent the University to the best of their ability.

Accordingly appropriate dress, good grooming, and good personal hygiene are essential to providing

customer service commensurate with the Bookstore's mission. The following policies apply:

All employees are expected to be clean and well groomed at all times. Personal hygiene includes daily bathing and use of deodorant, clean hair and fingernails, and clean and unwrinkled clothing. Please remember that for appearance and sanitary standards, it is important to wash your hands frequently.

When provided by the Bookstore, employees must wear their name tags on their shirt, blouse, or other outer garment during working hours.

No employees should wear shorts, mini skirts, halter tops, sun dresses, off-the-shoulder tops, muscle shirts, or hats during working hours. ALBANY STATE UNIVERSITY apparel (sweatshirts, T-shirts) may be worn on "Spirit" Fridays.

Career employees should dress as professionals. Jeans and tennis shoes are not appropriate for career employees, except during heavy periods of unloading, unpacking, and stocking. Student employees may wear jeans and tennis shoes if they are clean and in good condition.

Jeans or other items of clothing with holes in them are not acceptable.

Men should wear shirts with collars and sleeves. Shirts should be tucked in. Student employees may wear sweatshirts and T-shirts when the nature of the work deems it appropriate.

NOTE: The above items are guidelines. The Bookstore Manager will decide what is appropriate/inappropriate dress in questionable cases.

Adherence to dress standards is the responsibility of each individual. Failure to abide by these guidelines will result in the following consequences:

First occurrence – verbal warning. You may be sent home without pay to change into attire that meets standards.

Second occurrence – formal written warning. You may be sent home for one day without pay.

In addition, the next performance appraisal will reflect the incident.

Third occurrence – grounds for dismissal.

The employee's immediate supervisor will monitor proper dress standards. He or she is authorized

and required to take appropriate and designated action(s).

Sometimes the Bookstore will promote a particular holiday, item or event, and special apparel may

be authorized by the Bookstore Manager. On such occasions, he or she will review the details for you. This is not a justification for others to modify their dress standards.

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Finally, rare occasions, e.g., major cleaning projects, inventories, etc. may warrant dress modification. Even with these modifications, employees are still expected to be clean and well groomed.

1004.0405 Smoking

Smoking is governed by Statewide laws and University policies furnished to all University employees.

1004.0406 Visitors

All employees are required to strictly limit personal visits (family, friends, etc.). Even if an employee

is idle at the time of a visit, he or she must not encourage visitors to stand and talk. Those who interfere with the performance of employees' assigned duties should be asked to wait outside the door.

1004.0407 Telephone

Bookstore telephones are provided for official University business only. They are vital and necessary to the efficient operations of the business. Incoming and outgoing personal calls are discouraged, except in case of an emergency. In no case should personal long distance calls be made and charged to the Bookstore telephones.

1004.0408 Professional Development

The Bookstore Manager will develop and maintain a program to continually raise the caliber of the

Bookstore staff and to encourage pride and self-fulfillment of the individual. Subject to budget

restraints, the permanent staff will be allowed to participate in educational seminars provided by the

National Association of University Stores and the Georgia Association of University Stores. Other

seminars may be made available as approved by the University. Regular training sessions will be

developed and conducted by Bookstore staff to help the employee in learning his or her job and to

learn how his or her job relates to other position's duties and functions within the Bookstore and/or

University.

Each employee will be trained in safety procedures, the location of emergency equipment and the proper procedures for reporting safety violations.

1004.0409 Ethics and Conflict of Interest

A. Other Employment

Any other employment, either for the University or for others (business, agencies, institutions,

or self-employment venture) must be reported to the Bookstore Manager at time of initial employment or at any other time when an employee engages in such other employment.

In

any situation where the other employment could create an actual, potential, or perceived conflict in the employee's obligation to the Bookstore employment and his or her private interests, or whenever such other employment is closely related to his Bookstore employment

so as to create actual, potential, or perceived opportunities for improprieties (misuse of University personnel, equipment, supplies, etc.), the employee may be asked to take measures

to eliminate this conflict. If necessary the employee may be asked to: (1) present substantial

evidence that no actual, potential, or perceived conflict of interest does exist; (2) cease the

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other employment; (3) seek other employment on campus or off; or (4) a combination of these measures.

B. Buying Ethics

Albany State University demands high standards of ethics in the buying of merchandise, goods, and services for resale or other use by the Bookstore. It is understood and required that all employees (buyers in particular) transact business prudently and not profit personally by virtue of employment at the Bookstore. Anything of value acquired is the property of Albany State University and/or the Bookstore who financed the purchase.

The following are specific prohibitions (not all inclusive):

Employees are forbidden to participate in any transaction between the store and a business in which the employee has an interest;

Employees are forbidden to knowingly receive, accept, or seek (directly or indirectly), any payment, tip, loan, or gift in any way related to the discharge of the employee's duties;

Employees are forbidden to receive compensation (excluding Bookstore wages) because of any transaction; and Employees are forbidden to accept other employment that might be expected to impair the employee's independent judgment.

Failure to comply with the above will be grounds for disciplinary action including possible dismissal.

1004.0410 Other Personnel Policies

The University Policies and Procedures Manual for Human Resources Management (Section 800 of

this Manual) applies to all employees of the Bookstore.

1004.05 ORGANIZATION STRUCTURE

The organization charts for the areas of Business and Finance, Exhibits Numbers 103.04-3 through 103.04-4, display the organizational structure for accomplishing the above functions and responsibilities of the Book Store.

1004.06 LOST AND FOUND

All articles (including cash) found by an employee in the Bookstore will be reported to the Bookstore Manager and/or other supervisor. Reasonable attempts should be made to identify and contact the owner. Articles (including credit cards, wallets, checkbooks, cash, merchandise, etc.) should be marked where it was found. Checkbooks, credit cards, wallets, cash, and other items of considerable value should be safeguarded in the safe.

1004.07 HOUSEKEEPING

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Employees are responsible for the appearance and cleanliness of their desks and work areas. They

should ensure that working spaces are kept neatly and orderly arranged, the sales floor is uncluttered, and shelves and display areas are kept free of dust. Cleaning materials (brooms, feather dusters, cloths, spray cleaners, etc.) should be kept stored and/or out of sight when not in use.

1004.08 ORDERING SUPPLIES, EQUIPMENT OR SERVICES All Bookstore employees must submit a request in writing to the Bookstore Manager or his or her designee for approval, before ordering or contracting for office supplies, equipment, and/or services

needed to aid in the performance of their job duties.

Under no circumstances will any employee remove merchandise from the retail store stock without

first obtaining signed approval from the Bookstore Manager or his or her designee.

1004.09 SALES REPRESENTATIVES

All sales representatives will be referred to the Bookstore Manager and/or his or her designee(s)

authorized to place orders. Care must be taken not to allow such sales representatives to interfere

unreasonably with the normal and proper exercise of regularly assigned duties and functions or unreasonably impede customer service.

1004.10 CONFIDENTIALITY

All employees of the Bookstore (full-time, part-time, students, etc.) are involved in work that includes pricing, marking, checking invoices, preparing bills, receipts, etc. for customers. This information, when obtained by someone with a bonafide "need to know" through proper channels, may be considered public information; however, employees are to treat it as confidential.

1004.11 ORDERING TEXTBOOKS

The Textbook Section includes all required new and used books and any optional or recommended

reading materials needed for classes taught at the University. Each Professor provides a list of

requirements for each course to the Department Head, who reviews, edits and forwards it through appropriate academic channels to the Bookstore for processing. All books are shelved by subject area and course number. The Customer Service Desk provides information, location, direction and other assistance, as required.

1004.1101 Policies

A. Textbook Selection

The Bookstore advises Faculty, through appropriate academic channels, of due dates for book and supply requirements to be furnished to the Bookstore. These requirements must include course number, quantity, author, title, edition, ISBN and publisher. Based on the sales history of each title/course, the Bookstore then orders the books. While the Bookstore may be asked to provide information relevant to a particular textbook, including availability, it has no input in the selection of titles, edition or number of books selected for a course.

B. Deadlines

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Deadlines for ordering textbooks for regular academic semesters (fall, spring, a summer session, etc.) are announced by the appropriate academic administrators with input from the Bookstore Manager. These deadlines must be observed to ensure a high probability of receiving textbooks by the beginning of an academic session. The University Vice President for Academic Affairs or his or her designee will prescribe appropriate academic approvals and/or channels for processing Textbooks Adoption Forms (Exhibit Number 1004.1101-1) and will help in ensuring their timely submission.

C. General or Reference Books

The Bookstore will order reference or general books whenever requested by a faculty member.

D. Special Orders

The Bookstore will place special orders for books and other items for University staff, faculty, students, or individuals in the community. An appropriate deposit will be required before issuance of a purchase order.

1004.1102 Procedures

A. Ordering Textbooks

As Textbook Adoption Forms (Exhibit Number 1004.1101-1) are received, the Bookstore Manager (or his or her designee) will review for accuracy and compliance with policies and procedures. Current inventory (stock) on shelves will be noted on the form. The data from Textbook

Adoption Forms are then entered into the computerized Textbook Management System. Whenever several Textbook Adoption Forms have been received and their contents entered, a wholesale “want list” is generated. Such lists should be generated as often as feasible and purchase orders issued for used books to wholesalers. A Book Store Purchase Order (See Exhibit Number 1004.1102-1) is issued for each book wholesaler of used books. Most used textbooks needed for each course should be obtained before a purchase order is issued to publishers for new books. However, at a point in time determined by the Bookstore Manager, the purchase orders to wholesale vendors for used books must be stopped and publisher purchase orders processed.

Textbook Purchase Orders (See Exhibit Number 1004.1102-2) to publishers are also generated by the Computerized Textbook Management System. Three copies of each purchase order are generated for distribution as follows:

One copy - Publishing Company
One copy - Bookstore Receiving
One copy - Bookstore Files

B. Ordering General and Reference Books

Based on a bonafide request by a faculty member a preprinted purchase order will be issued. As a minimum, the following descriptive or identifying information should be included on the Purchase Order:

ISBN

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Quantity needed
Last name of primary author(s)
Title of book (or description)
Publisher name
Publisher account number

C. Special Orders

The procedures for this type of order are the same as for General and Reference Books, Section 1004.1102, B. above, except that an appropriate deposit is required. When the special order arrives or there is a problem, the customer will be notified. If the Bookstore is unable to get the special order, the deposit will be refunded.

D. General Merchandise

The Bookstore stocks such school supplies as pens, pencils, notebooks, paper, typewriter supplies, calculators, tape and adhesive products, tacks and rulers. The Bookstore Manager is responsible for establishing order

cycles for this type of merchandise. Normally, school supplies will be ordered by purchase orders at least two (2) times a year in time to be properly stocked for each academic semester. Additional orders to supplement these large orders will be processed as needed. Sundries and dry goods will be purchased according to needs' projections throughout the year.

1004.12 (NOT USED)

1004.13 PRICING

A standard margin used to operate the Bookstore without sustaining a financial loss determines the

selling of books. If the publisher increases a price, the Bookstore must act accordingly. If a supply of books is on hand in its warehouse when the price is increased, the publisher will paste a price over the old printed price. The Bookstore's charge is based on what it is charged for the book, not on the price stickers.

1004.1301 New Editions

The Bookstore orders the edition requested by the Faculty. Once the book has been updated and published in a new edition, the old one has marginal value. If a Faculty Member requests an old edition for a class, the Bookstore will attempt to supply that book, if available. Sometimes, however, only the new edition is available for shipment.

An out-of-stock book is reordered immediately after verification of enrollment, and "rush" shipping methods are requested. Reorders normally arrive within two weeks of the order date, but they can take up to four weeks. Every college/university bookstore is ordering at approximately the same time, and publishers often fall weeks behind in shipping.

1004.1302 Used Textbooks

The University contracts with a vendor that buys and sells used textbooks. The vendor is solely responsible for setting prices for these books.

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1004.1303 Trade or General Books

Books classified as trade or general books are sold at the suggested retail price and usually produce forty percent (40%) profit margin.

The General Book Section contains non required books of general interest, including best sellers, classic literature, reference, science fiction and many academically related books. Titles are displayed in separate sections by subject categories.

If a particular book is not in stock, the Bookstore will place an order with the publisher, if requested.

A non refundable deposit is required on any special order, and the deposit will be applied to the cost of the book.

1004.1304 General Merchandise (Sundries, Supplies, and Clothing)

Most of the general merchandise items (sundries, souvenirs, supplies, clothing, etc.) can also be purchased locally at department stores, discount stores, and other retail establishments. Thus they are priced competitively with existing markets with appropriate weighting being given to the nature of the Bookstore clientele—mostly students. Normally, these items produce an average of forty percent (40%) profit margin.

1004.14 DESK COPIES

Desk copies (complimentary or examination copies) of textbooks are usually available through the

publisher. The Bookstore will help the faculty member in obtaining one. A desk copy may be

provided the faculty member from the Bookstore stock (when available). To obtain one, the faculty

member must provide a departmental purchase requisition for the requested book. The desk copy

must be replaced within thirty (30) days or the faculty member's departmental supply budget will be

charged the retail price of the book, via an Intra-Institutional Transfer. Only a clean, unmarked copy

of the book will be accepted by the Bookstore as a replacement. A book marked "complimentary copy," "desk copy," or "free copy" is not acceptable for resale.

1004.15 RECEIVING MERCHANDISE

1004.1501 Policy

All merchandise is physically received in the Bookstore, whether UPS, Motor Freight, or other means. All items are to be checked and signed for by an employee of the Bookstore.

1004.1502 Procedures

- A. All cartons or containers should be visually inspected for damage that is visible from the outside. This should be done in the presence of the delivery person before signing for receipt of the shipment. If damage is discovered, it should be called to the attention of the delivery person and noted on the shipping document.
- B. The carton identified as containing the packing slip should be opened first. The packing slip should be identified and matched with the corresponding receiving copy of the purchase order. If a packing slip/invoice is not

found, the receiving copy of the purchase order should be used to verify the order. The order should be inspected, counted, and verified against both the packing slip/invoice and the purchase order. Correct items, quantity received, price discounts, etc. should be verified.

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- C. The individual receiving the shipment should initial and date both the packing slip and the purchase order. Any discrepancy should be noted on both.
- D. If the order is correct, complete, and in proper condition, the packing slip should be attached to the receiving copy of the purchase order and both given to the Bookstore Manager or his or her designee to be processed for payment.
- E. If the order is incomplete due to shortage, shipping error, damage, etc. or is incorrect for any other reason, the purchase order and/or packing slip must be held until order is complete.

1004.16 PROCESSING INVOICES AND CREDIT MEMOS

1004.1601 Policy

Payment for merchandise for resale or for use by the Bookstore may be processed only with an

original invoice. Payment cannot be made from a statement, although a statement may be used to

verify that all invoices have been received during a specific period. Payment of invoices and/or the

use of credit documents must be processed promptly so that all discounts may be properly taken.

1004.1602 Procedures

A. To verify that all merchandise was received and that everything is in order for payment, an invoice is matched with the corresponding packing slip/receiving document and the purchase order. Credits are matched with return/charge back forms to ascertain completeness, correctness, and accuracy. The invoice or credit document is then stamped to reflect the date items were received.

B. If everything is in order for payment, a Receiving Report authorization is signed and forwarded to

the Accounting Office for payment.

1004.17 (NOT USED)

1004.18 RETURNS AND EXCHANGES

1004.1801 Policy

A. Required Textbooks

Required Textbooks may be returned or exchanged during the first ten (10) class days of the academic semester for which they were purchased. The book(s) must be returned in the same condition as they were when purchased, *i.e.*, new Textbooks must not be damaged, soiled or marked in any way.

The Bookstore cash register receipt and a University I.D. are required for any consideration of a refund.

B. Other Merchandise

The basic policy of the Bookstore is that all sales (other than Required Textbooks [A. above])

are final and that there will be no refunds. However, upon approval of the Bookstore Manager,

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exchanges may be made within three (3) working days, if accompanied by the cash register receipt to establish proof of date of purchase.

Merchandise must be in absolutely new condition. Clothing may be exchanged only with original tags intact.

1004.1802 Procedures

- A. All refunds/exchanges require a cash register receipt as proof of purchase. If it is not presented, a supervisor must approve the transaction.
- B. A "Paid-Out Authorization" slip must be completed by the cashier and signed by the customer.
The customer's University I.D. and the reason for returning must be provided by the customer and included on the "paid-out authorization" slip.
- C. The cashier will process the return/exchange as a paid-out transaction.
- D. The transaction receipt and the "Paid-Out Authorization" (with customer's signature and the cashier's initials) will be placed in the register to support the transaction and the cash will be given to the customer.

1004.19 METHODS OF PAYMENT

1004.1901 Policy

The Albany State University Bookstore accepts cash, checks, and bank charge cards (Visa and MasterCard) as methods of payment.

1004.1902 Procedures

A. Personal Checks

- 1. For students a valid Albany State University Identification Card (I.D.) is required. During the first week of school, a course registration form may be accepted. Employees must present appropriate identification. If

the customer does not have any form of identification, he or she should be referred to the Bookstore Manager.

2. Checks must be made payable to Albany State University Bookstore with correct address, telephone number, name and identification number on the face of the check. The check must be signed by the person whose name appears on the face of the check.
3. If the check belongs to someone other than the student (parent, guardian, relative, etc.), the student's name, local address, telephone number, and student I.D. must be written on the check.
4. A two-party check (one made payable to a payee other than Albany State University Bookstore) and signed by someone other than the customer will not be accepted. Discover checks are also not accepted by the Bookstore.
5. Before a check is accepted the cashier must verify the I.D. card number with the I.D. number shown on the face of the check. To be accepted, they must be the same. The cashier must also check the I.D. card photo to ascertain that it matches the customer.

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The check then must be processed through the Telecheck approval system. The authorization code must be placed on the face of the check.

6. The cashier must enter check information (name of payer, etc.) into the cash register system before accepting a check for merchandise. A list of individuals having given "bad checks" is entered into the system on a current basis; therefore, the system will not approve a check from a person on the "bad check" list in the system. Checks cannot be accepted from a customer whose name is on that list.
 7. If the check is accepted, it must be imprinted with the cash register, stamped with an endorsement stamp, and inserted in the cash drawer.
- B. Travelers' Checks or Money Orders
A traveler's check or money order must be processed in the same manner as a personal check. The customer must have proper identification and endorse (sign) it in the presence and view of the cashier. No prior approval is required.
- C. Bank Cards (Visa and MasterCard)
Customer's bank card must be passed through and properly scanned by the electronic machine provided for this purpose. The amount of the sale will be entered for authorization. After receiving the authorization number, the charge form will be printed. It must include name, account number, authorization code number, total amount of charge, and other required information. The customer must sign the charge slip. The customer will be

given the customer copy and the signed copy will be inserted in the cash drawer with a copy of the register receipt.

1004.20 SALES TRANSACTIONS AND SECURITY

1004.2001 Register Unlocked and Unattended

An employee should never leave his or her register unlocked and unattended.

If the shift is over and

the replacement employee has not arrived, the employee must remain at the register. In the event it

is absolutely necessary for the employee to leave, he or she must first notify the Bookstore Manager or other supervisor.

1004.2002 Location of Cash until Transaction Completed

Cash tendered should never be put into the cash drawer until the transaction is completed

satisfactorily. The money should be left on the ledge above the drawer or across and on top of the

drawer (in sight of the customer) to forestall disputes about the amount of cash tendered. The cash

tendered should not be easily reached by the customer or any other bystander. The register drawer

should be closed after each transaction to avoid someone reaching in and grabbing cash.

1004.2003 Money to Restock Register or Make Change

Money to restock a register or to make change should be put away immediately.

1004.2004 Location of Large Bills

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Larger bills than \$20 should be kept under the tray in the register drawer where they are out of sight

and out of reach.

1004.2005 Periodic Transfer of Cash to Safe

During high volume periods, money (checks, bank cards, etc.) should periodically be removed from

the register and deposited in a safe or other designated place.

1004.2006 Long Lines

Employees should never allow themselves to be rushed, either by a customer or by the formation of

a long line. Accuracy is vital, and rushing can cause errors. If a long line forms, the employee should summons a supervisor (manager) who may, if possible, open another line.

1004.2007 Quick-change Artists

Employees should be aware of the tactics of quick-change artists (e.g., interrupting and distracting

the cashier during a transaction with repeated questions and requests), and how to deal with them

(e.g., completing one transaction at a time, always having the money tendered in plain sight, and if

necessary, calling for assistance to intervene).

1004.21 CHARGE SALES TO STUDENTS

1004.2101 Policy

Sales of books and educational supplies to students whose tuition, fees, and other expenses are

being paid by scholarships or outside agency may be billed to the grantor, outside agency, or to the

Student Accounts Office in the Comptroller's Division for subsequent billing and collection. No other

sales to students for personal payment may be charged.

1004.2102 Procedures

Students receiving financial aid may, upon valid authorization received from the Financial Aid Office,

charge the allowable books, educational supplies, etc. by presenting their class schedules, signing

the Bookstore invoice, and providing their University I.D. number. The Bookstore invoice must be

completed with quantity, price, and description of items purchased, complete name and I.D. number

of the student. Prices are extended, sales tax added where applicable, and the total to be billed is shown.

The customer retains one copy for his or her records. Financial aid invoices are entered in Book

Store accounts receivable files. Upon receipt of payment, the check is processed as a reduction to

accounts receivable and entered into the register as payment. Files that include the complete

“paper trail” are maintained for each of these agencies

1004.22 CHARGE SALES TO UNIVERSITY DEPARTMENTS

1004.2201 Policy

The Bookstore is authorized to charge purchases made by other University departments only upon receipt of a Request for Supplies or Services that has been approved by the Office of Financial Services. Purchases for more than fifty dollars (\$50.00) require a Request for Supplies and Services

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approved by both the Department/Unit Head and the Office of Financial Services. All computer software and hardware purchases require additional approvals (See Section 900 of this Manual).

1004.2202 Procedures

All charges for University departmental purchases require a properly completed and signed Request

for Purchase (See Section 907.01 of this Manual). The request must include the appropriate

account number and be approved and signed by the Department/Unit Head (or his official designee)

and the Office of Financial Operations in accordance with Section 1004.2201 of this Manual.

Quantities, descriptions, prices, etc. should be verified by the Bookstore employee accepting the

request. After the purchase has been made, the Original of the Request for Purchase with receipts

attached must be forwarded to the Office of Financial Operations. The Department/Unit account(s)

will be charged monthly by that office.

1004.23 DAILY BALANCING OF CASH

1004.2301 Policy

Each day the contents of each cash drawer for each sales register (for each employee) will be balanced and total receipts placed in the safe. The cash is then deposited with the Cashier in the Financial Operations Division.

1004.2302 Procedures

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A. At the end of each day, at the end of a shift, or before a cashier leaves work, the contents of the cash drawer will be listed, counted, verified, etc. and balanced.

A. Before beginning the balancing, the cash drawer will be reset, one reading taken and a tape produced.

A. In a service area, the custodian of the cash drawer (cashier) will prepare a calculator tape listing of all checks. Cash, bank card receipts, and checks are added to get a total amount of that day's sales (less the amount of the change fund). This is compared to the readout of the register.

A. After balancing the cash to the register amount, a daily deposit form is prepared. Sales are divided by class codes: new book sales, used book sales, miscellaneous sales, sales tax, etc. These are compared with the corresponding amounts for these class codes generated on the cash register tape (ring-out). After verifying the accuracy of these class code amounts, they are entered on the daily deposit slip. Then the amounts of cash, checks, bank card receipts, etc. are listed on the daily deposit slip. All sections of the daily deposit slip are totaled and balanced.

A. The deposit is taken to the Cashier's Office and deposited. The Cashier's Office issues a receipt for the deposit. This receipt is attached to one copy of the daily deposit and filed in the Bookstore.

1004.24 INVENTORY

1004.2401 Policy

An inventory will be conducted semiannually (on or as near then end of each semester and one on or as near June 30 as possible).

The order for conducting each inventory will be:

- A. New textbooks in Sales Area (A list of sales of items previously counted must be made and used to adjust inventory downward at the end of the day.);
- B. New textbooks in Stockroom; and

- C. Used textbooks, supplies, sundries and other items.
- 1004.2402 Procedures
- A. Prior to the beginning of an inventory, employees will arrange all items neatly and orderly, grouping and blocking all like items to facilitate counting and recording. In doing this, the employees will prepare items to be scanned into the computer system for compiling.
 - B. The receiving area should be completely cleared, if practicable.
 - C. The Stock Room is “Off Limits” during the taking of inventory in that area.

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- D. Summary (Count) sheets are provided by the Manager. These are lists of items that have been available for sale during the year. The lists contain the description, retail price, costs, etc. of each item (books and other). All items should be listed on the Summary Sheets according to type of goods and location (New textbooks - Sales Area, New textbooks - Stock Room, Supplies - Sales Area, Supplies - Stock Room, etc.)
- E. In teams of two, Bookstore personnel will count and record quantities found. One person should call the item, count and price of the item, while the second person records the information on the computerized system. An inventory is printed and is recounted to assure accuracy.
Greeting Cards are inventoried by price, *i.e.*, all cards priced at \$.50, \$.75, \$ 1.50, etc.
- F. After the count is completed, the cost and retail price are verified for correctness and accuracy.
- G. After the inventory has been completed, the Manager will spot check for accuracy.

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A. Lists of items on accounts payable, accounts receivable, and in transit are prepared. These include

vendors, invoice number, extended cost, extended retail, etc.

A. The inventory, the lists of accounts payable, accounts receivable, in transit, etc. and other accounting

reports are used to complete the inventory and year-end financial statements.

1004.2403 Pricing and Costing

- A. The Retail Price is obtained by using the Manufacturer's Suggested Retail Price if the discount received by the Book Store is at least twenty (20) per cent, producing a markup of at least twenty-five (25) per cent. If the Manufacturer's Suggested Retail Price is not at least a twentyfour (24) per cent markup, then the Book Store's Retail Price is re-computed so as to produce the twenty-five (25) per cent markup.
- B. If more than one Purchase Order was used to order the textbooks or other items which results in different prices, the item will still be priced (Retail Price) on the shelves as described in Section 1004.2403, A., above. If only a few are priced at one price and many are priced at a different price, then all prices will be changed to be the same as that of the greatest number.
- C. After the inventory is taken, the cost of all new textbooks, used textbooks, supplies and other items are computed by the computerized system.

1004.25 (NOT USED)

1004.26 PETTY CASH

A petty cash fund is authorized for the Bookstore; however, in certain situations and with written authorization by the Vice President for Business and Finance, extra cash may be requested and obtained from the Bursar's Office (from Bookstore funds) for the exclusive purpose of maintaining adequate change funds for cash drawers. The amount will be specified in the authorizing letter. Such extra funds will not be used for any purpose except a backup change source. In no case will any employee borrow from these funds for personal use. To do so will be grounds for disciplinary action and/or dismissal.

1004.27 STUDENT EMPLOYEE PERSONNEL RULES

The contents of this Manual Section are provided for use to acquaint all student employee personnel

hired as part of the Bookstore staff with the policies and procedures established as guidelines for

their employment. Any willful or negligent violations of these policies and procedures will be cause

for a student employee to be warned, suspended, or dismissed from his or her duties. The contents of this Section are to act as guidelines to clarify the duties and responsibilities of the student assistants hired by the Bookstore.

Work-study

The Bookstore student employee system relies heavily on hiring qualified work-study personnel based on an annual allotment determined by the Office of Student Financial Aid.

Pay Information

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Student paydays fall on regular University paydays. Provided student employee applicants have

complied with all qualifications for employment (work-study, or straight employment), an average of

four to six weeks is required from the initial date of employment until receipt of the first paycheck.

After receipt of the first check, all others should be received on regular paydays.

Student employees do not accrue annual (vacation) or sick leave.

Work Schedules

Work schedules are prepared once each semester. Employees are given the opportunity to notify

their respective supervisor of any upcoming dates in the semester on which they would not want to

be scheduled. With respect to daily work scheduling, every effort will be made by the respective supervisor to work around such dates.

Work Hours

Student employee personnel are requested to arrive at their respective job station on time and ready

to work at the scheduled duty time.

Substitution Policy

After work schedules have been published, a student employee is expected to work his or her assignment. If a conflict arises, it is the responsibility of the student employee notify the manager or the supervisor concerning the conflict. Employees who fail to show up for work and have not notified their supervisor or the manager will be subject to suspension or dismissal.

Probationary Period

All student assistants hired by the Bookstore are placed in a two-week probationary status. This

period is used to assess the new employee's job performance and compatibility to the particular

job. If it is deemed that a student employee is not adequately qualified to remain in the position, he

or she will be notified and given an opportunity to seek other employment before being terminated.

Resignations

A student employee who for any reason wishes to resign is expected to give a two-weeks notice to

the Book Store Manager's office, in order to allow sufficient time for the Bookstore to hire a replacement.

Exam Periods

All student employees are hired for the entire semester, unless terminated beforehand, and are expected to work through final exams. If an employee finishes exams early, it is his or her responsibility to work his or her assigned schedule unless his or her supervisor or manager has been properly notified. A student employee leaving early and not notifying the supervisor or manager may not be rehired.

Penalties for Non-Compliance to Policies and Procedures

All student assistants employed by the Bookstore will have the policies and procedures of their

respective positions explained to them and will be provided a copy of this Manual for their continued

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reference and use. Employees will be expected to adhere to these policies and procedures. Willful

neglect or noncompliance will result in the following:

1. Failure to report to work and not notifying supervisor or manager.
 - a. First offense - probation, suspension, or termination.
 - b. Second offense - termination.
2. Arriving to work late or leaving early.
 - a. First offense - warning.
 - b. Second offense - probation without suspension.
 - c. Third offense - termination.
3. Inadequate performance of duties.
 - a. First offense - warning.
 - b. Second offense - warning and reprimand.
 - c. Third offense - suspension, termination.

A personal file is kept on all student employees and all records of offenses will be kept in these files.

1004.28 STORE SECURITY, LOSS PREVENTION, AND EMERGENCIES

1004.2801 Security and Emergency Telephone Numbers

Security and emergency telephone numbers will be posted throughout the Bookstore by all telephones. They are as follows:

Police (Public Safety) - Ext. 4711

Other Emergency Services - 9-911

Note: Always notify Public Safety before other law enforcement agencies. The 911 Operator notifies the Department of Public Safety when that service is called.

1004.2802 Presence of Security

Whenever non uniformed campus or store security persons are present, employees of the Bookstore should never acknowledge their presence when they are on duty.

1004.2803 Internal Theft, Shoplifting, and Security Breaches

Employees must constantly be on the alert to prevent internal theft, shoplifting, and breaches in security. Some guidelines follow:

- Greet every customer who enters your department;
- Wait on all customers promptly;
- Never hands write prices;
- Watch for individuals who loiter;

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- Watch for individuals changing price stickers, putting used book stickers on new books, etc.;
- When showing valuable merchandise, don't place more than one or two items on the counter at a time, and don't lose track of what customers have in their possession;
- Keep all showcases locked;
- Do not display expensive or high loss items near entrances or exits;
- Watch for customers exiting with merchandise, and never allow people to take merchandise out of the store until it's been purchased;
- Watch customers wearing loose or baggy clothing or clothing that is out of season;
- Watch customers with large purses;
- Be alert to customers asking for extra bags or boxes;
- Don't let customers, including faculty and staff, enter the store with backpacks, packages, etc.

Direct them instead to the location provided.

- Don't hold customers' belongings at the cash registers.
- Always be alert the last 20 to 30 minutes before closing, as it is a prime time for professional shoplifters.
- Make sure merchandise borrowed or transferred is recorded correctly;
- Follow all policies and procedures concerning checks and credit cards;
- Contact your supervisor when faced with a suspicious return;
- Never leave your department unattended; and
- Never turn your back on an open cash register drawer.

1004.2804 Reporting a Shoplifting or Theft

To report a shoplifting case, an employee must observe what item is taken and where it was concealed. The employee must keep the suspect in sight from the

time the suspect is observed until the supervisor or security personnel is notified. An employee cannot accuse the person of shoplifting or physically touch the person. Instead the employee should ask the suspect to come with him to talk to the Manager.

All shoplifters will be prosecuted, including employees.

1004.2805 Robbery

The following are guidelines in case of a robbery:

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- Above all, employees must cooperate with the robber. Never question or try to dissuade a robber;
- Give the person *exactly* what they ask for. Do not offer anything additional;
- Try to get a description of the suspect. Remember things that distinguish him or her from others, i.e., color of clothing, hat or no hat, beard, moustache, approximate height, weight, age, and race;
- Listen carefully to what is said and note the person's voice characteristics;
- Note the direction of travel or flight after the confrontation. Do not follow the suspect;
- Notify the police immediately;
- Notify the manager, director/assistant director, or acting manager immediately.

1004.2806 Fire

The following policy guidelines relate to preventing fires and what to do when a suspected fire occurs:

- Avoid creation of fire and safety hazards (e.g., empty boxes and equipment left in aisles of sales and/or stock areas).
- All employees during initial employment orientation and periodically thereafter will be familiarized with the location of, and how to use, all fire extinguishers, fire alarms, fire escape measures and routes, and emergency exits.
- When an employee sees smoke or fire, he or she should inform the manager, supervisor, or other employee close by. In case of a fire 9-911 should be called immediately.

In case of fire drill or an actual fire:

- Ask customers to leave merchandise on the counters and exit the store in a quick and orderly fashion.
- Cashiers should turn registers to the "off" position, remove the key, and leave after all customers exit the store.
- See that all disabled employees and customers are assisted in leaving.

- Employees should insure that customers are gone before exiting the store.
- Employees are not to leave once they are outside the building, since head counts will be taken at a predetermined location.

1004.2807 Power Failure

The following guidelines should be followed in case of power failure that lasts for more than a few seconds:

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- Flashlights designated for this purpose and provided by the Bookstore should immediately be secured, turned on and used to accomplish other actions described in this section.
- All work stations (registers, desks, etc.) should be secured (registers locked).
- Employees will turn off all machinery such as computers, copy machines, registers, etc. to prevent damage from a power surge.
- Whenever authorized by the Manager or other senior employee in charge, customers will be asked to leave or, if necessary, escorted from the building by employees with flashlights. Customers will be asked to leave on counters or shelves all merchandise not already purchased.
- Employees will observe exits to ensure orderly exiting of customers and to watch for possible shoplifting.

1004.2808 Severe Weather Conditions

Employees of the Bookstore will comply with policies and procedures applicable to all University

employees and areas pertaining to severe weather conditions. These are published and distributed

by the Office of Human Resources Management.

1004.2809 Bomb Threats

The following are policy and procedure guidelines to be followed in case of a bomb threat:

A. Telephone Threats

- Keep the caller on the phone as long as possible. Ask the caller to repeat the message.

Record every word spoken by the person making the call. Use the bomb threat checklist (following).

- If the caller does not indicate the location of the bomb or the time of the possible detonation, the person receiving the call should ask the caller to provide the information.

- Inform the caller that the building is occupied and the detonation of the bomb could result in death or serious injury to many innocent people.
- Pay particular attention to any strange or peculiar background noises such as motors running, background music, and any other noises that might give even a remote clue as to the place from which the call is being made.
- Listen closely to the voice (male or female), voice quality (calm, excited, etc.), accents, or speech impediments.
- The information should then be reported immediately to the University Police Department

(Ext. 4711), who in turn will notify other appropriate agencies as necessary.

- The person receiving the call should then report this information to the Manager, who will decide if the building should be evacuated.

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- The Manager should evacuate the building using the same procedures for exiting during a fire.

B. Written Threats

- Save all materials including any envelope or container.
- Once the message is recognized as a bomb threat, further unnecessary handling should be avoided.
- Every possible effort must be made to retain evidence such as fingerprints, handwriting or typewriting, paper, and postal marks, which are essential to tracing the threat and identifying the writer.

C. Letter or Package Bombs

- The employee suspecting that a package or envelope is a letter bomb will inform the

Manager or other supervisor immediately.

- Do not move or touch the package.
- The Manager will contact the Campus Police (Ext. 6666), and decide if evacuation of the building is necessary.
- The building should be evacuated using the same procedures for evacuation during a fire.
- While written messages are associated with generalized threats and extortion attempts, a written warning of a specific device may occasionally be received. It should **never** be ignored. With the growing use of voice print identification techniques to identify and convict telephone callers, there may be an increase in the use of written warnings and calls to third parties.

D. Bomb Threat Checklist

(Keep a copy of this form near all telephones.)

When you receive a bomb threat call, be calm and courteous. LISTEN TO WHAT IS SAID! DO NOT INTERRUPT, LET THE CALLER TALK. As he talks, record as much information as possible without becoming distracted from what he is saying. When the caller seems to be finished with his statement, attempt to obtain further information. Fill in the following blanks as quickly as possible.

Time of call _____
Where is the bomb? _____
What time will it go off? _____
How much time is left? _____
What kind of bomb is it? _____
What does it look like? _____

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INFORM CALLER THAT THE BUILDING IS OCCUPIED AND THE EXPLOSION WILL CAUSE INJURY AND DEATH.

Why are you doing this? _____
How do you know about the bomb? _____
Why are you calling? _____

1004.29 EMPLOYEE SIGNATURE/COMMITMENT

Each employee will be given reasonable paid work time to read manual sections pertaining to the

Bookstore - all of Section 1004 of this Manual. He or she will then be required to sign the following

statement:

Employee Signature/Commitment Statement

This manual has been prepared to help you in understanding your new work environment and is intended to clarify many special situations and characteristics that affect and govern our operation.

Since it is your responsibility to know and comply with the policies and procedures described

within this manual, please sign the attached Employee Signature/Commitment Statement and

return it to the Manager

I, the undersigned, have received a copy of the Bookstore's Policy Manual and have read the policies and procedures listed therein. If I have questions, I agree to contact my supervisor for clarification.

Employee Signature
Social Security Number
Date
Supervisor Signature

Date

1005 FOOD SERVICES

Albany State University contracts the operation of its Dining Hall and Snack Bar to a food service vendor. These facilities operate on Student patronage and offer a variety of meals, snacks and catering operations. Requests for catering services, or items for special events, should be made directly to the Food Services Director of the contract food service company. All services of the facilities may be purchased by Faculty and Staff.

1005.01 MEAL PLANS

Students living in the Residence Halls must pay a board fee which includes three meals per day for

seven days each week of the semester. Off-campus students can elect to purchase a \$25 coupon book or purchase a la carte (pay for each meal).

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Faculty, Staff, and visitors, may pay at the cash register on a per meal basis.

1006 STUDENT HOUSING (RESIDENCE HALLS)

1006.01 MANAGEMENT AND OPERATIONS

The University provides Residence Halls for those Students wanting to live on campus. The

Residence Halls Staff reporting to the Director of Housing (who reports to the Vice President for

Student Affairs) is responsible for assigning students to Residence Halls rooms and monitoring the

conduct of Students (disciplinary action, for example). Staff reporting to the Director of Housing is responsible for maintenance, repairs, renovations, custodial services, and other fiscal functions.

1006.02 STUDENT SERVICES

The Residence Halls Staff of the Student Affairs Division is responsible for fostering the growth and

development of Students living in the Residence Halls. A Head Resident, living in the building, is responsible for the general management and operation of each Residence Halls. He or she is assisted by Resident Assistants on each floor, as needed. All Resident Assistants are well trained in working with the residents and are available day and night, not only to help encourage a

quiet, orderly atmosphere conducive to study and proper rest, but also to provide information and assistance as needed and appropriate.

In addition to the Residence Halls staff members, the Division of Student Affairs provides professionals who come to the Residence Halls to present programs of interest to the residents. Students may schedule individual office appointments with professionals. Student Services offers assistance in many areas: career decisions, personal problems, social activities, and educational activities, for example.

The Staff adheres to guidelines established to enhance the academic and social environments in the Residence Halls. These guidelines, which are published and discussed with Residents at the beginning of the semester, include policies regarding quiet hours, excessive noise, visitation, and similar concerns.

All applicants for student housing are required to sign a Housing Contract and pay a \$150 deposit before moving into the facilities. The Staff encourages Residents to read the contract and ask any questions they have regarding policies and operations of the Residence Halls.

1006.03 HOUSING ASSIGNMENTS

Housing assignments are granted to upper class Students on a first come, first served basis.

1006.04 ROOM CHANGES

When possible, Head Residents will authorize room changes and issue necessary forms.

Students who make unauthorized or illegal room changes may be assessed a fine.

1006.05 KEYS AND CHECK-IN/CHECK-OUT PROCEDURES

The Staff issues keys to Students at the time of occupancy. If a Student loses a key, he or she will

be billed for replacement. When a room is vacated, each Student must turn the key in to the

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Residence Staff and see that the clearance form is checked. If a Student fails to return his or her key, the Staff will charge him or her with improper check out.

At the time a Student occupies the room, he or she must complete a Room Inventory Sheet. This

is the official form indicating responsibility for the room, furnishings and key(s). It bears an

inspection report that must be checked and signed by both the Resident and a Staff member when

the former is moving in or out. The Resident must record on the Inventory Sheet immediately after

check-in all damages and imperfections in the room. Any additional damages found by a Staff member upon check out will be charged to the resident.

Students vacating rooms (i.e., officially withdrawing or moving off-campus) are expected to remove

all personal belongings from rooms and be officially checked out by the Resident Assistant. They must turn in all room keys within 24 hours following completion of withdrawal from the University.

1006.06 CLEAN UP

Residents are responsible for the cleanliness of their rooms. The Housekeeping Staff is responsible

only for the public common areas of the residence halls. Residents must help keep laundry areas and other common areas clean and must leave rooms clean upon termination of occupancy.

1006.07 PET POLICY

All pets, except tropical fish in aquariums (maximum 10 gallons), are strictly prohibited from being brought into the Residence Halls. Students who violate this pet policy will be required immediately to remove the unauthorized pets from the campus. Transgressing Students and their pets will be subject to eviction from the campus. The University is not responsible for fish or equipment left in residence halls during holiday periods.

1006.08 ROOM INSPECTIONS AND EMERGENCIES

Entry by University authorities into occupied rooms in residence halls is divided into two categories:

Inspection and Emergency. Inspection exists when University representatives enter an occupied

room to ascertain the health, safety and maintenance conditions of the room. This includes

checking the physical conditions of the room, making repairs, if necessary, and performing cleaning

and housekeeping operations. An emergency exists when the delay necessary to obtain authorization constitutes a danger to persons, property or the building itself. The Residence Staff of each Residence Hall will announce times and dates of periodically scheduled room inspections.

Emergency evacuation procedures are posted in each Residence Hall, and each Student should become familiar with the particular evacuation procedure. A Student who fails to follow these emergency procedures will risk his or her safety or life and subject himself/herself to the disciplinary process.

1006.09 GUESTS: OPPOSITE SEX

Opposite sex visitation is only permitted to the upperclass men and women living on campus. Visitation is allowed only on Fridays, Saturdays and Sundays between the hours of 6:00 p.m. and 10:00 p.m. Only Albany State University students are permitted in the opposite sex rooms, all other guests are restricted to the lobby area of the Residence Hall.

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1006.10 OVERNIGHT GUESTS

Students may have overnight visitors of the same sex Friday and Saturday nights, except during final examinations. The guest must be registered with the Residence Hall Staff, and a guest fee may be charged unless the guest is a Resident of another Residence hall on campus.

1006.11 OCCUPANCY DURING HOLIDAYS

Residence Halls are closed during vacation periods and between semesters. No occupancy of rooms will be permitted during these times. During the holidays Residents may leave personal belongings in the buildings. However, for holidays immediately before and after summer school, they must remove all personal effects from the buildings. The University is not responsible for personal items left in the Residence Halls.

1006.12 QUIET HOURS

Residents must maintain quiet hours in every residence hall, as posted. During final examinations and any other time considered necessary, they must maintain twenty-four (24) hour quiet hours.

1006.13 ROOM FURNISHINGS

Rooms are equipped with the basic furniture which must remain in the rooms. Residents are expected to supply linens, blankets, rugs, pillows and other personal furnishings. Water beds are not permitted. The construction of lofts within rooms is prohibited.

Residents may use the following appliances: lamps, radio, stereo, razor, clock, hair dryer, sewing

machine, television set (cable provided), telephone (Student is responsible for obtaining long

distance service through the telephone company), and room refrigerator (maximum dimensions 19"

wide, 22" deep, and 34" high).

The resident must not use the following appliances: microwave units, hot plates, toasters, heat

lamps, sun lamps, roasters or any appliance with an exposed coil. They must avoid burning

incense/potpourri, using destructive tape and nails to hang items on walls, or using objects that are

not part of the physical building. Examples of the last are antennas, wires, and window air conditioners.

1006.14 ALCOHOL POLICY

No one may possess alcohol on the campus of Albany State University. Federal, State and local laws apply to the purchase or consumption of alcohol off campus.

1006.15 MAIL SERVICE

The Albany State University Campus Postal Services provides all campus Residents post office

boxes. Upon presentation of "paid fees stamp," a Resident can obtain a box by checking with the

Postal Services to verify box number and to obtain instruction for its use. Each Resident is required

to use a box; mail cannot be given out through the window. Students must present their ID cards at

the window to claim packages.

1006.16 PARKING

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All Residents bringing cars to campus must register them with the Albany State University Office of

Public Safety.

1006.17 REPAIRS

Residents should promptly report needed repairs to Resident Hall Managers.

1006.18 FIRE DRILLS

Board of Regents Policy requires each Residence Hall to have at least one fire drill each semester.

Residents must vacate the building immediately upon hearing the alarm. It is considered a violation

of University regulation, and a Federal offense, to remain in the building during the fire drill. The University will prosecute any individual found responsible for turning in a false alarm or tampering with fire equipment. A false alarm is also a Federal offense.

1006.19 COMMON AREAS

The Auxiliary Services Staff is responsible for ensuring proper maintenance, repair and custodial

service for the common areas (hallways, lounges, shower rooms, lavatories, laundry rooms, for

example) regularly monitors these areas. The Auxiliary Services Office maintains and operates the

areas and the equipment in them.

1007 POST OFFICE

Albany State University operates a Post Office facility for the following purposes:

Mail service to Dormitory Students by use of individual mail boxes;

Receipt, sorting and casing of official mail for delivery to University Departments/Units;

Sale of postage and other specialized postal services; and Outgoing mail services for Students and Departments/Units.

1007.01 MAIL ARRIVAL AND DELIVERY

The United States Postal Services (USPS) picks up and delivers the U.S. mail to the Albany State

University Post Office twice each day, Monday through Friday, between the hours of 8:00 a.m. and

9:00 a.m. and between the hours of 4:00 p.m. and 4:30 p.m. Mail is sorted immediately and placed

into the student mailboxes and departmental mailboxes for pickup and/or courier delivery.

1007.02 SORTING AND BOXING INCOMING MAIL

1007.0201 Campus Mail

Campus Mail refers to all interdepartmental mail for on-campus offices, individuals or other

addressees. Campus Mail should be received in the gold interdepartmental mail envelopes and

separated from outgoing mail to preclude the possibility that Campus Mail placed in a regular

envelopes may be inadvertently metered and mailed through the United States Postal Services

system. Postal Clerks should inspect mail to ensure that departments have complied with this

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University policy. Whenever repeated violations of this policy are observed, the Post Office Manager

will contact the offending office and instruct them to comply with this policy. Campus Mail will be sorted and placed in Departmental boxes soon after its receipt in the Post Office and/or as soon as is feasible to comply with the University Post Office Mission Statement.

Care must be taken to ensure correct sorting and boxing of Campus Mail. Incorrectly sorted and/or

miss-boxed mail causes unnecessary delays.

1007.0202 United States Postal Services (USPS) Mail
Immediately after the morning delivery (8:00-9:00 a.m.) by the United Postal Services, Postal Clerks

will immediately begin to sort all delivered mail. Mail should be ready for pickup by students no

later than 11:30 a.m. and for departmental offices and/or for delivery by courier no later than 10:30

a.m. Care must be taken to ensure correct sorting and boxing of USPS Mail. Incoming Special Delivery Mail will be accepted by authorized Campus Post Office personnel by signature.

1007.0203 Handling of Incoming “Addressee Unknown” Mail
Mail determined to be undeliverable because a former student, faculty member or other employee’s

current address is unknown is redirected and forwarded to the sender’s return address without an additional postage charge. This service is provided for one year.

If the addressee has left a permanent change of address notice, that address is used to forward the

mail to the addressee. Mail is forwarded as many times as necessary to reach the addressee.

1007.03 SORTING AND BOXING OUTGOING MAIL

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A. Off-Campus Stamped Mail

Mail to which a postage stamp has already been affixed will be sorted from mail to be metered. Such stamped mail will be sorted by zip code and placed into USPS—provided mailbox casings to be picked up by the United States Postal Services.

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A. Outgoing Mail to be Metered

Official Albany State University mail to be metered by the postage meter will be sorted by zip code, arranged so that the flaps of envelopes are overlapping, processed through the postage meter machine to affix the correct postage and placed in the appropriate USPS-provided mailbox casings to be picked up by the United States Postal Services.

During the sorting and boxing process, Postal Clerks will be alert to identify and remove any mail

not having a deliverable address or, in any other way, considered not to be in compliance with U. S.

Postal Services requirements. Such mail will be returned to the sender with appropriate notification

on the envelope.

1007.04 ON-CAMPUS DELIVERY BY COURIER

Courier delivery of official Campus Mail is made once each day. The Courier will deliver and pick up

official mail at one location in each department that has been designated by the Department/Unit Head as the official point of delivery and pick up for that entity.

Departments may request to retain a departmental mailbox in the Post Office and pick up their mail, but may not have both a mailbox and receive Courier delivery both.

During the Courier's delivery, following an established and approved mail route, he or she will

exercise maximum care and caution to secure the mail at all times. Mail will not be left out of sight

and unattended at any time. The Courier may, as time allows, sort and deliver Campus Mail picked

up on the mail route which is for delivery to addressees remaining on the route unless, in so doing,

he or she will not return to the Post Office in adequate time to properly handle outgoing mail that should be processed to be picked up by the USPS during the afternoon delivery and pick up.

1007.05 PROCESSING DIFFERENT TYPES OF OUTGOING MAIL

Processing and handling of mail is customarily accomplished on a first in, first out basis. However,

there are certain types of mail that will be given special handling that is required to process a specific category of mail in accordance with the time and delivery commitments of that type or category of USPS mail.

1007.0501 Express Mail

Express Mail service is the USPS's fastest mail service. It provides USPS guaranteed overnight delivery service every day of the year (365 days, including weekends and holidays). It should be used by departments/units only whenever a less expensive method of service is justifiably unacceptable.

Express Mail must be in the University Post Office no later than 3:00 p.m. for it to be processed

and picked up by the U.S. Postal Services in time to ensure that the mail is delivered by noon or by

3:00 p.m. the next day.

Whenever outgoing mail is first received in the Post Office or by the Courier, Postal Clerks should be careful to identify such mail and ensure that is placed in a designated mailbox casing. Proper postage will be affixed and billing information prepared.

1007.0502 Priority Mail

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Priority Mail is the category of USPS mail which is given expedited delivery of first class mail when

the speed of Express Mail is not required. Priority Mail is generally delivered in two days and should be used by departments/units for mail items that do not require the speed of Express Mail nor the expedited delivery of Priority Mail.

Whenever outgoing mail is first received in the Post Office or by the Courier, Postal Clerks should be careful to identify Priority Mail and ensure that is placed in a designated mailbox casing for Priority Mail.

Proper postage will be affixed and billing information prepared.

1007.0503 First Class Mail

First Class Mail is the category of mail most generally used. It is used for sending correspondence,

postal cards, bills, money orders, checks and the like. It is given prompt sorting, handling and processing procedures by the Postal Clerks to enable this category of mail, as a general practice, to move in and out of the University Post Office the same day. If an item of First Class Mail weighs more than eleven (11) ounces, it should be sent as Priority Mail.

If an item of First Class Mail is not letter-size, Postal Clerks must ensure that it is marked "First Class."

1007.0504 Bulk Mail

Bulk Mail is used to mail advertising materials such as brochures, circulars and pamphlets.

Because of the possible volume of mail involved, Departments/units are instructed to notify the Post

Office in advance about Bulk mailings. Postal Clerks must insure that the following USPS rules have been adhered to:

A. The bulk mail-out consists of two hundred (200) or more pieces of mail or fifty (50) pounds in weight.

A. All pieces to be mailed are identical in content.

A. Sort and group each piece according to its five (5) or three (3) digit Zip Code (31705, 317, 29670, 30-3,

etc.)

A. Package ten (10) or more pieces for the same five (5) digit Zip Code into a package. Prepare as many

five (5) digit packages as the mailing requires.

A. Package ten (10) or more pieces for the same three (3) digit Zip Code into packages. Prepare as many

three (3) digit packages as the mailing requires.

A. If there are ten (10) or more pieces for a state remaining after the five (5) digit and three (3) digit

packages have been made, they must be made into state packages.

A. If there are pieces remaining for two or more states, they must be made into a mixed-state package.

Any Bulk mail-out received in the University Post Office or picked up by the Campus Mail Courier

that has not been prepared as outlined above will be returned to the Department/Unit for the

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necessary corrections. Postal Clerks may assist in preparing bulk-mailings by answering questions and providing information; however, it is the Department/Unit's responsibility to prepare the mailing in accordance with the USPS requirements.

1007.0505 Parcel Post

Parcel Post packages weighing and measuring within the United States Postal Services prescribed

limits may be accepted and processed as Parcel Post. The Postal Clerk will weigh the package, using the United States Postal Services provided scales, and determine the postage required to mail the package. The clerk will affix the appropriate postage to the package and place in the designated area for pick up by the United States Postal Services. Billing information will be prepared for charge to appropriate departments/units.

1007.06 SPECIAL SERVICES PROCESSING

The University Post Office offers special mail services that are normal services provided by the United States Postal Services. These services are described in the following sections.

1007.0601 Money Orders

Money orders will be issued in amounts up to seven hundred dollars (\$700) in accordance with

USPS rules and regulations. Blank Money Orders will be kept secured in the University Post Office

at all times. Whenever a customer wants to purchase a Money Order, the Postal Clerk will imprint the blank Money Order by using the validation machine to affix the amount requested by the customer. A service fee of eighty-five cents (\$.85) will be charged for each Money Order.

1007.0602 Certified Mail

Certified Mail, for a service fee of one dollar and thirty-five cents (\$1.35), provides the sender proof of

delivery of mail. When accepting mail as Certified Mail, the Postal Clerk will issue a mailing receipt

and will maintain a record of the issuance of that receipt. Whenever the University Post Office is

the recipient of Certified Mail, a record of its delivery is kept for a record just as a record of delivery

is kept at the recipient's post office for Certified Mail originating at the University Post Office. Postal

Clerks should be sure that a customer wanting to use Certified Mail understands that this special

service does not include a return receipt to provide the sender with proof of delivery. Return Receipt

is an additional service that must be purchased as described below.

Postal Clerks may make Certified Mail available only for First-Class and Priority Mail only. Certified

Mail may not be provided for international mail nor does it offer insurance protection unless purchased separately.

1007.0603 Insurance

Postal Clerks may sell insurance coverage in amounts up to six hundred dollars (\$600) for Standard

Mail, as well as for Standard Mail matter mailed at the Priority Mail or First-Class Mail rates. Schedules are provided by the United States Postal Services that reflect the insurance costs (service fees) Postal Clerks must charge for various amounts of insurance coverage. Copies of receipts for insurance coverage must be kept and filed by the University Post Office. The United States Postal Services provides insurance coverage for Registered Mail, the Service's most secure mail service, for amounts up to twenty-five thousand dollars (\$25,000).

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1007.0604 Return Receipt

Postal Clerks may sell an additional service, Return Receipt, for mail sent C.O.D., Express Mail,

mail insured for more than fifty dollars (\$50), Registered Mail or Certified Mail. A return receipt, the

sender's proof of delivery, will show who signed for the item and the date that it was delivered.

Postal Clerks must charge a service fee of one dollar and twenty cents (\$1.20) for this service.

1007.0605 Registered Mail

A Postal Clerk may sell a service, Registered Mail, which is the most secure mail service option

offered by the United States Postal Services. This service provides added protection for valuable

and important mail. Beginning with the acceptance of an item by the Postal Clerk, Registered

articles are placed under tight security from the point of mailing to the point of delivery.

The Postal

Clerk will refer to schedules provided by the United States Postal Services to determine the

charges for this service and will complete documentation of the registration process in accordance

with United States Postal Services rules and regulations.

At the mailer's option the Postal Clerk may sell insurance coverage on a Registered article in

amounts up to twenty-five thousand dollars (\$25,000) and charge for this service in accordance with

a schedule of fees provided by the United States Postal Services. The Postal Clerk will complete documentation of the insurance process in accordance with United States Postal Services rules and regulations.

1007.07 STUDENT MAILBOXES

The University Post Office provides mailboxes for all students living in on-campus University housing

facilities. The Postal Services Manager, or his or her designee, will issue a key to a student's mailbox whenever he or she completes a Student Registration form at the University Post Office. The Postal Clerk will not charge a fee for this service to the students; however, a twenty dollars (\$20.00) charge will be collected for a lost key.

1007.08 PERSONAL CHECKS

Postal Clerks may accept first party, correctly drawn personal checks from customers to pay for

postal services and products up to the amount of the purchase, except for the purchase of Money

Orders. The Postal Clerk must ensure that the check is correctly made out, drawn in favor of "U.S.

Postal Service" or "Postmaster," and includes all necessary information to process the check. The

Postal Clerk must require the person using the check to provide two (2) forms of identification, one

of which must bear a photograph.

1007.09 OTHER FUNCTIONS OF CAMPUS POST OFFICE PERSONNEL The Postal Services Manager, or his or her designee, will ensure that the following tasks are accomplished:

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A. Maintains and issues keys to Albany State University employees that have campus mailboxes.

A. Monitors and maintains a sufficient amount of postage and other supplies required for normal

operations, giving appropriate consideration to the University calendar and special events that may impact postal

operations and requirements.

A. Replenishes the postage meter by using a Petty Cash Voucher and taking the meter to the USPS Post

Office.

A. Maintains a daily inventory of stock of postage and supplies required for normal operations.

A. Keeps an accurate record of postage used by each department/unit.

A. Completes a monthly report of departmental/unit postage charges for the Office of Financial Operations

to effect charges to departmental/unit accounts for postage and supplies used.

A. Completes a daily report for the United States Postal Services by 4:00 p.m. and documents all monies

collected from the sale of stamps and money orders.

A. Prepares and sends a daily cash deposit to the bank via Registered Mail.

A. Checks and adjusts the date on the postage meter machine.

A. Maintains a log and documents the amount of postage on the postage meter machine.

A. Checks and adjusts the date on the money order machine.

1008 CENTRAL LAUNDRY SERVICE

The University provides a Central Laundry facility for the following:

Residence Halls Students: Each Student pays, at Registration, a fixed amount for basic laundry services according to published, established lists. The Central Laundry Facility will charge Students, on an individual basis, for items or quantities over that rate amount; and University Departments/Units and Organizations: The Central Facility provides laundry services on a schedule of charges determined by the vendor. All users pay for the services, based on a monthly billing.

In addition to providing laundry services, Central Laundry Service is responsible for the operation and

maintenance of all washers and dryers in the Residence Halls.

1009 VENDING SERVICES

Vending machine operations are a part of Auxiliary Services, under the supervision and maintenance of the Director of Auxiliary Services. A vendor competitively selected operates these services on a commission basis.

Vending machines are located throughout the campus and provide snacks, soft drinks, juices, and

the like. To obtain a refund, when machines fail to render the product or return the money, the user

must contact an area Key Operator whose name and office number are posted. The user should

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direct complaints to this person so that appropriate individuals can be notified and corrective action

taken, when appropriate.

Requests for installation or removal of machines or other questions related to vending should be directed to the office of the Director of Auxiliary Services.

The Director of Auxiliary Services will designate an employee in his area of responsibility to reconcile, document and report monthly to him or her the commission amounts from the vendor.

1010 HEALTH SERVICES

Albany State University provides, as an Auxiliary Service, traditional student health services at its Health Center on campus. The Health Center is staffed with physicians on a part time basis and nurses on a full time basis. It is equipped with hospital beds and two treatment rooms for general medical care and minor surgery.

In accordance with policy of the Board of Regents (BOR Manual, Section 711.02), the Health

Services function is under the direct management, control and supervision of the Director of

Auxiliary Services who reports directly to the Vice President for Fiscal Affairs. Some of the program

aspects relating to the students are coordinated by the Vice President for Student Affairs.

The Student Health Center is located in the ACAD Building, Room 138.

1010.01 STAFF

The Health Services operation and functions are accomplished with the following staff:

One Family Nurse Practitioner (full time),

One Licensed Practical Nurse (full time),

One Registered Pharmacist (part time, consultation only), and One Medical Secretary.

1010.02 SERVICES PROVIDED

Student Health Services, upon payment of a Student Health Services Fee, provides for customary

health care of all students. Payment of the Student Health Fee entitles the student to the following:

1. Overall general medical care;
 2. Minimum confinement in the Health Center (no overnight stay);
 3. Consultation on general health needs with the Nurse Practitioner and Nurses;
- and

4. Women's Health Clinic services provided by Dougherty County Health Department.

The Student Health Fee will not cover the following items:

1. Off campus visits to physicians, dentists and emergency centers;
2. Admission to hospitals and service received in these facilities; or

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3. Payments to pharmacies for prescriptions.

1010.03 STUDENT MEDICAL RECORDS

All incoming students must have on file in the Health Center a completed physical examination form, signed by a physician, physician's assistant or Nurse Practitioner. This information is required prior to health service treatment of any nature.

A student that has been out of school for an academic year or more, will be required to have a physical examination performed by his or her physician before receiving and health service treatment.

Whenever an Albany State University student is absent from the University due to illness, he or she

must obtain a written statement from the attending physician. This statement must be reviewed by

the University Nurse Practitioner so that any treatments, if required, will be continued as prescribed.

1010.04 OFF CAMPUS MEDICAL FACILITIES

In any situation that cannot be handled at the Health Center, the University Nurse Practitioner will refer the student to another physician or facility.

1010.05 EMERGENCIES

The Director of Student Health Center, or his or her designee, will notify parents and/or guardians in case of emergency hospitalization and/ or other emergencies. Follow-up calls will be made to the Housing and Student Affairs Offices to notify them of the circumstances.

1010.06 INSURANCE

Information on student health insurance may be obtained through the Student Health Center. Students having medical insurance coverage should have, in their possession at all times, their Insurance Cards or copies of them.

1010.07 ILLNESSES REQUIRING SPECIAL MEDICATION OR DIETS

Students with asthma and other related or similar conditions should bring their medicine with them

or have it sent to them at the University.

Diabetics are responsible for their own insulin, equipment, its storage and the administering of the drug.

Special diets may be obtained from the Dining Hall at the direction of the University Nurse Practitioner of the Health Center.

1010.08 HEALTH CENTER HOURS OF OPERATION The Health Center is open during the following hours:
Monday, Tuesday and Friday — 8:00 a.m. to 5:00 p.m.
Wednesday and Thursday — 8:00 a.m. to 6:00 p.m.

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1010.09 TELEPHONE NUMBER

The Student Health Center telephone number is (912) 430-4766.

1011 DAY CARE CENTERS

Albany State University, as a function related to its School of Education programs, operates three Day Care Centers. These Centers are funded by local government grants and fees collected. The operating procedures for the Day Care Centers are prescribed by State of Georgia laws and regulations pertaining to the operation of such centers and in accordance with the terms of grant funds received from federal and/or local government grants.

The centers are located in the following areas:

1. One in Albany, Ga;
2. One in Pelham, Ga; and
3. One in Bainbridge, Ga.

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1100 PLANT OPERATIONS

1101 INTRODUCTION

1101.01 PURPOSE

The policies and procedures that follow delineate the major functions, set forth operating policies

and procedures, and highlight the interrelationships between the Plant Operations Department and

other entities of Albany State University.

1101.02 OBJECTIVE

The objective of Plant Operations policies and procedures is to provide University Departments/Units

and the Plant Operations Department a comprehensive, consistent source of guidance which will assist the Department in effectively and efficiently providing support services to faculty, staff and students in their pursuit of excellence in academic research, teaching and community service.

1101.03 UNIVERSITY ORGANIZATION FOR PLANT OPERATIONS

Exhibit 101.04-7 depicts the current organizational structure of the Plant Operations Department.

1102 ORGANIZATION (See Exhibit 101.04-7.)

1102.01 DIRECTOR - PLANT OPERATIONS

1102.0101 Responsibilities

The Director of Plant Operations reports to and is directly accountable to the Vice President for

Fiscal Affairs. He or she is responsible for all related engineering and architectural aspects of new

buildings; plant services; maintenance, operations and renovation of campus property; and such

other duties assigned by the Vice President for Fiscal Affairs. These responsibilities include the

operation of the utilities systems, maintenance of roads and grounds, and provisions for engineering

planning and support, as well as building maintenance and custodial services to academic,

administrative, and other University facilities. He or she is responsible for maintaining architectural

documents.

1102.0102 Duties

A. General Duties

The Director assumes full responsibility for the design, construction, and maintenance of all aspects of the University's Plant Operations.

A. Specific Duties The Director:

A. Directly supervises following functions: Administrative Services, Building Services, Custodial Services,

Landscape and Grounds Maintenance, Plant Electro-mechanical and Motor Pool Operations;

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A. Provides general assistance to architectural engineering firms for construction projects on physical

plant specifications, and some guidance to design solutions;

A. Provides policy instructions to all contractors on new or maintenance construction, giving approval to

new construction methods or materials;

A. Develops for approval a Plant Operations budget, providing proper justification for amounts requested,

including the development of all budget policies affecting the physical plant operations;

A. Provides design work in methods for utility design, problems on structural design of present buildings,

and idea design for equipment and methods in carrying out construction and maintenance work;

A. Assumes responsibility for ensuring that the Plant Operations Department complies with all University,

Board of Regents, State, and Federal policies and regulations in its area of responsibility;

A. Maintains good working relationships with all University Departments/Units;

A. Maintains records on personnel reporting, staff payroll, accounting for funds, budget administration, and

systems for charging other budgets for Plant Operations services;

A. Handles correspondence with architects, engineers, University officials, Board of Regents, State

governments, Federal agencies, local officials, and others; and

A. Provides professional leadership and management for the Plant Operations Department.

1102.02 ADMINISTRATIVE SERVICES

This division of Plant Operations is headed by the Associate Director of Plant Operations and is responsible for various aspects of Plant Operations Administration, including the following:

Work order control,

Radio dispatch and paging,

Telecommunications,

Schedules,

Computer systems (Plant Operations),

Warranty maintenance, and
Preventive maintenance.

1102.03 BUILDING SERVICES

The Building Services Division of Plant Operations consists of three shops
(HVAC and Mechanical

Shop, Carpentry Shop and Paint Shop) in which each Supervisor reports directly
to the Superintendent of Building Services. It is responsible for operations and
functions which include:

Maintenance, repairs and replacement of facilities, utilities systems, and plant equipment;
Remodeling and modification to facilities;
Cabinet making;
Locksmith and key control;

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Painting (including signs); and
Elevator maintenance.

1102.04 GROUNDS AND CUSTODIAL SERVICES

The Grounds and Custodial Service Division of Plant Operations consists of two
broad areas in which each Supervisor reports directly to the Superintendent of
Grounds and Custodial Services.

The two broad areas are:

1. Grounds:
Grounds Care and Maintenance,
Landscape Operations (including Greenhouse),
Grading and Excavating, and
Moving Services; and
2. Custodial Service :

Cleaning and preservation measures of all administrative and academic buildings and the
common areas of Residence Halls; and Pest Control.

1102.05 MOTOR POOL/TRANSPORTATION AND EQUIPMENT

MAINTENANCE

The Motor Pool/Transportation and Service Equipment Maintenance Division of
Plant Operations is

headed by the Superintendent of Transportation and Equipment Maintenance and
is responsible for

operations and functions which include:
Small Engine Shop,
Schedule and dispatch of vehicles,
Motor Pool Operations,

Bus Operations,
Automotive Shop, and
Equipment Maintenance Shop.

1102.06 ASSISTANT TO THE DIRECTOR - PLANT OPERATIONS The Assistant to the Director reports directly to the Director of Plant Operations and is responsible for operations and functions which include:
Engineering,

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Drawing,
Designs,
Planning and Budgeting,
Cost Accounting,
Historical Records,
Estimates,
Training Coordination, and
Environmental Safety (OSHA , EPA, DOE and EPD).

1103 POLICIES

1103.01 BUILDING SAFETY REQUIREMENTS

The Plant Operations Department complies with and/or takes steps to ensure compliance with the following codes and standards during new construction and renovations of existing campus buildings:

1. Latest edition of Standard Building Codes,
2. OSHA Standards (Federal Register, Volume 39, Number 125, Part II, June 27, 1974),
3. Fire Protection Handbook - National Fire Protection Association,
4. National Fire Codes, Latest Edition, and
5. Board of Regents Policies and Procedures.

On all matters concerning safety and health, the Plant Operations Department maintains close coordination with the Director of Public Safety, the University's Personnel Division, and all State of

Georgia safety agencies.

1103.02 RELATIONSHIP WITH OTHER UNIVERSITY DEPARTMENTS/UNITS

1103.0201 Prompt and Efficient Services

The Plant Operations Department places high priority on rendering prompt and efficient services to other Departments/Units of Albany State University. To facilitate planning however, any

Department/Unit contemplating using the services of the Plant Operations Department should notify

the Director of Plant Operations, in writing, of needs requiring major effort. If the requests do not fall

within the jurisdiction of the Plant Operations Department, it will so advise the concerned Department/Unit and forward the request to the applicable Department/Unit.

1103.0202 Loan of Plant Operations Equipment and Tools

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Except small, non power tools to students for work on University-approved projects, the Plant

Operations Department will not lend its equipment and tools to personnel of other University

Departments/Units. The Director must approve requests for tools, which must be returned when the

project for which they were used is finished, or when the Director specifies.

1103.03 BUILDING AND GROUNDS SERVICES

General: The Director of Plant Operations is responsible for building services of academic and administrative buildings throughout the campus.

1103.0301 Custodial Services

Normal custodial services, under the Superintendent of Grounds and Custodial Services, consist of regularly scheduled cleaning of classrooms, offices, corridors, rest rooms, and the like, Monday through Friday with limited weekend coverage, as necessary. Expendable supplies such as paper towels are provided as required. (Laboratory supplies, and similar items are not included.) (See Department of Custodial Services, Section 1104.6.)

1103.0302 Additional Services

The Superintendent of Grounds and Custodial Services is responsible for regular trash/garbage pickup from all campus buildings. On a regular basis, or as requested by Departments, the Custodial Department handles pest control inside buildings while the Ground Department handles pest control in outside areas.

1103.0303 Lock and Keying

The Locksmith Shop, under the Director of Carpentry/Painting Services, maintains a plan of all lock and keying schedules on campus. The Shop maintains a master set of keys in a locked file and will make keys available to authorized persons on a "need to enter" basis. (See Locksmith Shop, Section 1104.0402.)

1103.0304 Building Security

The Department of Public Safety, under the Director of Public Safety, reports to the Vice President

for Student Affairs and is responsible for securing buildings after completion of classes or other

scheduled events, Monday through Friday, and weekends, unless special arrangements have been

made to keep certain buildings open.

1103.04 CAMPUS APPEARANCE

A. The Grounds Department is responsible for the maintenance of University lawns, shrubbery, and trees.

A. It is responsible for landscape design and implementation, reseeding, pest control of lawns and shrubs,

and the removal/replanting of ornamental trees.

A. It maintains a nursery of shrubs and trees to aid in the beautification of the Albany State University

Campus.

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A. It is also responsible for the cleanup of grounds surrounding athletic facilities, especially after athletic

events such as football, basketball, baseball games and special events sanctioned by the University. The Custodial

Services Department is responsible for the cleanup of areas inside the facilities.

1103.05 CHANGES IN BUILDINGS AND UTILITIES ON CAMPUS The Plant Operations Department is responsible for ensuring that any changes in buildings or utilities comply with and conform to all Federal, State, and local code requirements.

1103.0501 Buildings

Before any changes to buildings are made, approval must be obtained in writing from the Director of

Plant Operations or his or her designated representative. All changes or additions to floors, walls,

ceilings, doors, windows, Venetian blinds, and the like will be made either by members of the Plant

Operations work force, or under the direct supervision of the Director of Plant Operations or his or her designated representative.

1103.0502 Utilities

Plant Operations must effect all changes to and repairs of utilities.

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A. Heating and Cooling Systems

The central heating and cooling systems at Albany State University are designed to serve individual buildings and require manual switching of the system from heating to cooling or vice versa. Plant Operations will change the system whenever the Building Coordinator of a particular building requests the service. At the direction of the Vice President for Fiscal Affairs, Plant Operations will also change the system.

Those utility systems under direct control of building occupants should be operated in an economical manner. It is imperative that a Building Coordinator be designated in each of these facilities to ensure proper system operation to prevent damage to building systems and to provide energy conservation measures.

Because of the design of some building systems, conversion requires approximately 24 hours from cooling to heating and vice versa; thus, the system must not be changed often in a relatively short time span.

The Department/Unit Head or his or her Building Coordinator must request changes by telephoning the Plant Operations Receptionist, 430-4702.

1103.06 UTILITY CONNECTIONS FOR BUILDING CONTRACTORS

Temporary electric service to meet the needs of a building contractor is normally furnished from the

University electrical distribution system and is covered in contract specifications. The cost is

normally agreed on in contract documents. Plant Operations will bill the contractor monthly and

prepare a final bill when the building is completed, normally after final acceptance of the building

unless other agreements were made between the contractor and the Plant Operations Department. Requests for tap-on service by the contractor should be directed, in writing, to the Office of the Director of Plant Operations. Requests must be specific as to services required and must have an attached rough sketch showing pertinent locations of services.

1103.07 PROTECTION OF UTILITIES

The steam, potable water, chilled water, and sewage disposal lines are located underground throughout the campus. All high voltage electrical lines are underground. Since these utility lines are vital to the operation of Albany State University, personnel contemplating digging or excavating near these lines must take extreme caution. Only personnel designated by the Director of Plant

Operations, or his or her representatives, will be authorized to dig or excavate near these lines. The use of an underground locator is always required.

The Superintendent, Building Services, is responsible for the operation, maintenance, and repair of

the utility systems on campus.

Anyone aware of an obviously defective utility line should notify the Plant Operations Receptionist,

telephone 430-4702.

1103.08 INSTALLATION OF EQUIPMENT REQUIRING UTILITIES

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Department/Unit Heads must contact Plant Operations, in writing, before the purchase/acquisition

of special purpose equipment requiring utility connection other than 120 V., single phase electricity.

Exempt from this requirement are standard voltage, low wattage devices (typewriters, coffee urns,

desk lamps, and similar items).

This coordination requirement is established to help discharge the Plant Operations' responsibilities

for maintaining University facilities according to building, fire, and safety codes, and for assisting the

purchasers in determining the extent of items that must be considered in the completed installation

and operation of special purpose equipment.

The Procurement Division should contact Plant Operations before ordering special purpose equipment, to ensure compatibility of such equipment with existing building utility capacities and applicable codes.

Installation of special purpose equipment should be coordinated under the supervision of the Director of Plant Operations or his or her designated representatives.

1103.09 CONVERSION OF CLASSROOMS AND AUDITORIUMS

Before any classroom, Student activities facility, office or auditorium is converted to any other use,

the appropriate Vice President must grant written approval.

After approval for the proposed change has been obtained by all appropriate personnel, the actual

changes to the building will be done by the Plant Operations Department to ensure that all such changes conform to all State, Federal, and local code requirements.

1103.10 REQUESTS FOR PROJECT WORK

Projects that involve renovation or remodeling of facilities or construction of new facilities require design, costing, approval, and funding. Funding is normally requested through the Vice President for Fiscal Affairs for Major Repair/Rehabilitation Funds (MRR) allocated annually by the Board of Regents. If MRR funds are not provided, then funding must come from Albany State University sources. It is necessary therefore that adequate long-range planning for expansion or renovations be done at the lowest level to ensure that enough time is available to complete designs, to estimate costs, to secure proper approvals and to request funding for the project.

1103.11 GENERAL MAINTENANCE AND EMERGENCIES

1103.1101 General Maintenance

Plant Operations will provide all Departments/Units a high level of maintenance service at a rapid rate of response consistent with the availability of work force and resources and will give emergencies the highest priority.

1103.1102 Emergencies

Emergencies are those problems requiring immediate response to avoid interruption of such essential services as electricity, gas, heat, air conditioning or plumbing. Conditions considered hazardous to personnel, equipment or facilities are also included in this category.

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Plant Operations always handles on an emergency basis the restoration of utilities serving the Infirmary, the Computer Center, laboratories, and similar facilities. It gives high priority to maintaining Public Safety Department equipment.

The Director of Plant Operations or his or her representative is responsible for determining whether

an emergency exists, and what priorities will be assigned if several non emergency maintenance problems need to be taken care of on short notice.

1103.12 DISTRIBUTION OF PLANT OPERATIONS COSTS Generally, expenses of operating and maintaining University facilities are charged to the Plant Operations account and later allocated as appropriate. When Plant Operations costs are incurred for changing the character of the facility and the maintenance/repair of laboratory equipment and specialized equipment (special power, specialized air-conditioning equipment, for example), these costs will be charged to the Department/Unit requesting the service. In borderline cases, the Director of Plant Operations, or his or her designated representative, will determine the category of maintenance/repair and whether the cost of the work will be charged to the Plant Operations budget.

1103.13 NEW CONSTRUCTION

The Vice President for Fiscal Affairs is responsible for the orderly, long-range development of facilities at Albany State University.

The Plant Operations Department is responsible for new facilities planning and for implementing

capital improvement projects. Generally, new facilities planning and construction are limited to

projects approved by the Board of Regents, Office of Facilities. Other projects are accomplished by

outside architects and contractors in close coordination with the Plant Operations Department.

1103.14 FACILITIES INVENTORY

1103.1401 Equipment List Inventory

The Inventory Control Section of Plant Operations maintains an equipment inventory list.

1103.1402 Architectural Documents

The Plant Operations Department has on file many documents of Albany State University facilities.

A. Composite Maps

These maps show the latest status of telecommunications cables and other utilities such as steam lines and power lines. These maps are for Plant Operations maintenance/repair crews and are updated as necessary.

A. "Record" Building Construction Plans and Maintenance Files

These documents are on file for each completed construction job on the main campus. Upon completion of each project, the commissioned architects/engineers must provide the Plant Operations Department a complete

and indexed maintenance file on each device, fixture, component, and related items.

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A. Floor Plans

These drawings of floor plans of each building on the main campus are on 8.5-inch by 11.5-inch sheets. They show basic outlines and dimensions only, and are updated periodically. Request for Floor Plans should be submitted in writing to the Plant Operations Department. They are made available as needed.

1103.15 PLANS FOR SUPPORT FOR STUDENTS

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A. The Director of Plant Operations will make available copies of custodial documents (building plans and

the like) to interested parties as may be needed.

A. Interested parties need to contact the Director of Plant Operations to discuss the reasons for requests,

and the justification of their need to have copies of above documents.

A. Costs for prints of documents will be handled through standard Plant Operations billing procedures to

the respective University Department/Unit.

A. Generally, building security considerations will severely limit direct access to the architectural documents.

1103.16 SAFETY AND HEALTH PROGRAM

1103.1601 General

Plant Operations at Albany State University, in cooperation with the Director of Public Safety, is

responsible for ensuring compliance with applicable State and Occupational Safety and Health Act

(OSHA) safety requirements. The Plant Operations Department's internal compliance is assigned to the Assistant to the Director, Plant Operations. This individual can help other University Departments/Units to formulate their own internal plans.

1103.1602 Safety Program Description

A. This program includes, but is not limited to, training Supervisors and Workers in the safe operation of machinery, power tools, and moving vehicles; in awareness of job hazards such as moving gears, exposure to dangerous solvents and electric shock, fire, noise pollution; and in the wearing of protective gear (helmets when necessary, safety shoes, ear plugs, or ear muffs, and safety glasses). Procedures outlining action to be taken to provide emergency first-aid and transportation of injured personnel to the Infirmary are also maintained. For seriously injured personnel, an ambulance service will be called to transport the patient to the nearest hospital.

A. The Director of Plant Operations will meet periodically with the Heads of the Departments/Units under his or her control to discuss the various accidents and ways to reduce the rate of accidents. Internal policy requires that Shop Supervisors conduct safety meetings biweekly and provide documentation of topics discussed to designated personnel.

1103.17 TELECOMMUNICATIONS SERVICE

Telecommunications services for the University are coordinated by Plant Operations and provided by

the Department of Administrative Services (DOAS), State of Georgia. This Agency is responsible for all types of communication devices and communications contracts used by all State agencies, including the University System. These devices include, but are not limited to, telephones, radios, pagers, fax machines and modems. In addition, DOAS installs and maintains specialized circuits and radar systems throughout the State.

Department/Unit Heads, must originate requests for installation, removal, and relocation of telephones and address such requests to the Director, Administrative Services, Plant Operations Department, which will in turn contact representatives of DOAS or Southern Bell Telephone Company. If telephone conduits are required, Plant Operations will install them, or will request an outside contractor to install them.

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1103.1701 Single-line Concept

The University telephone system is set up using the single-line concept. In most Academic

Departments/Units and many Administrative Departments/Units, each office or station has a unique

telephone number for each instrument. There is a University Operator and a switchboard which is

operated by Plant Operations. The main number answered by the Operator is 430-4600. Recorded

messages are used after normal working hours to provide instructional messages to callers.

1103.1702 DOAS – Telecommunications Division

The DOAS will only perform work orders received from Plant Operations Personnel.

1103.1703 Instructions for Use of Equipment

An instruction booklet is provided when any new equipment is installed and should be kept with the

equipment for ready reference. Should a booklet not be available, the user can find help by calling

the Plant Operations Switchboard Operator. Instructions for using the GIST (Georgia Interactive Statewide Telecommunications) network have been provided for each telephone set. Additional booklets are available at the Plant Operations Switchboard Office.

1103.1704 Report of Malfunctions

A Department/Unit must report directly to the Switchboard Operator (430-4600) any equipment failure or system malfunction. The Switchboard Operator will record the report and submit it for corrective action immediately. The reporting Department/Unit will be so informed.

1103.1705 Requests for New Equipment, New Services or Changes in Services

A short memorandum describing the need and signed by the Department/Unit Head and Dean of the

School or Director of the Division should be forwarded to the Fiscal Affairs Office. A work order will

be forwarded to DOAS. The work may be scheduled by a DOAS technician or the order may be forwarded to Southern Bell if that system is involved. This process takes approximately three weeks.

1103.1706 Telephone Bills

The Plant Operations Department will forward Telephone Bills to each Department/Unit each month.

The bills will show charges for any equipment received, line charges, services charges, and the like,

and will itemize each long distance call.

1103.1707 Telephone Credit Cards

A State telephone credit card service may be provided upon request and must be approved by the

Vice President for Fiscal Affairs.

1103.1708 Cellular Telephones

Cellular telephone service may be provided upon request and must be approved by the Vice President for Fiscal Affairs.

1103.1709 Directories

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DOAS provides a State of Georgia Directory (commonly called the GIST Directory) with numbers of

all State offices and employees. New State directories are delivered to the University in December

and are available at no charge to a Department/Unit submitting a warehouse requisition. Local

telephone (Southern Bell) directories are delivered to the University Warehouse during midsummer

and are available at no charge to a Department/Unit submitting a warehouse requisition. The Plant

Operations Telecommunications Service prepares University Faculty/Staff directories which are available in mid-November. Changes in the State or local directory should be directed to the Plant Operations Office. Changes in the University Directory should be directed to the University Switchboard Operator.

1103.1710 Fax Machines

Several models of fax machines are available on State contracts. A Department/Unit must submit a

Purchase Requisition for a fax machine to the Vice President for Fiscal Affairs, who must approve the request.

1103.1711 Radio Service

Inquiries about radio service may be directed to the Director of Plant Operations.

1103.1712 Special Circuits

DOAS engineers can design data and other special circuits to meet user needs. Inquiries should be

directed to the Director of Plant Operations.

1103.1713 Pager Service

Pager Service, effective throughout the State of Georgia, may be requested through appropriate approval channels by Purchase Requisition.

1103.18 SOLID WASTE DISPOSAL

1103.1801 Responsibility

The Superintendent of Grounds and Custodial Services is responsible for the disposal of solid waste. Debris/trash is transported to a public landfill.

Contractors doing work at Albany State University must make their own arrangements to transport their trash to an appropriate landfill. Such debris/trash includes uprooted trees and other trash accumulated because of construction projects.

1103.1802 Use of Private Contractor

Albany State University uses a private contractor to haul solid waste to the landfill. The Dining Hall

and other sites on campus have dumpsters that are serviced daily by contract service.

1103.1803 Garbage/Trash Pick-up

Garbage/trash is picked up daily from all University buildings. Additionally, there is a twice weekly

garbage pickup from all housing units. Disposal of dead animals is through arrangement with Plant

Operations. (See Section 1104.0304.)

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1103.1804 Garbage/Trash not Placed in Garbage Containers

For garbage/trash not deposited in garbage containers, Department can arrange special pickups by

calling the Plant Operations Receptionist, 430-4702.

1103.1805 Dangerous Chemicals

Dangerous chemicals are disposed of following applicable safety and health standards. All chemical spills must be reported to Public Safety Department.

1104 PROCEDURES

1104.01 PLANT OPERATIONS SAFETY (APPLICABLE TO ALL PLANT OPERATIONS)

PERSONNEL)

1104.0101 Management Responsibility

Under the general direction of the Director of Plant Operations and the Safety Officer, each Supervisor is responsible for safety within his or her Department, Shop or Section.

1104.0102 Safety Rules

Plant Operations employees must follow general safety rules to help ensure protection of life and property. The following listing is not complete, though it does serve as a guideline to exercising good safety practices. An employee:

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A. Must always use good judgement. He or she must remember that safety is everyone's responsibility

and that the attainment of a fully successful program is dependent upon each individual's complete support and

undivided attention;

A. Must obtain assistance when trying to lift heavy or awkward loads. When lifting, the employee

must let leg muscles, not the back, do the work. **THE EMPLOYEE MUST NEVER TWIST HIS OR HER BACK;**

A. Must be sure to wear gloves designated for the particular application any time it is necessary to

handle rough material, work on high voltage circuits, or operate live steam lines. Electrical protective equipment must

conform to OSHA requirements (OSHA Standard 1910, 137, Electrical Protective Devices);

A. Must not wear rings or jewelry of any type when servicing electrical equipment or when using power

tools or equipment with exposed moving parts;

A. Must never attempt to make an electrical repair of any type; he or she must call an electrician;

A. Must never stand or work under a hoist that is supporting a load;

A. Must always wear goggles or safety glasses when using a grinding wheel or when operating

machine tools. Eye protection must conform to OSHA requirements (OSHA Standard 1910.133, Eye and Face

Protection);

A. Must make sure, before ascending a ladder, that it is properly braced and supported and is of the

proper length;

A. Must never operate power tools or use extension lights and cords that are not equipped with a third

prong ground; must not use portable hand lights without safety guards; must not use frayed power cords or allow

cords to drop into a liquid medium; and must ALWAYS check power tools with a ground fault tester before use;

A. Must always use the handrail when ascending or descending stairs;

A. Must, when subjected to prolonged exposure in outdoor environments, wear proper apparel: shirt

and hat in the summer and warm apparel in the winter; and drink plenty of water;

A. Must walk, not run, unless running is appropriate;

A. Must make sure, when working in close quarters, that adequate ventilation exists for the task or job

to be performed;

A. Must not smoke when in the presence of combustible materials; must not store combustible

materials near sources of heat or sparks; and must ensure that proper ventilation exists; Must smoke in designated

areas only;

A. Must never use compressed air to blow off wearing apparel. All compressed air used by employees

for cleaning parts and the like, must be reduced to less than 30 p.s.i. (OSHA Standard 1910.242, Hand and Portable

Powered Tools and Equipment, General);

A. Must not operate power equipment of any type without safety guards;

A. Must not wear loose fitting clothing, neckties or jewelry that may be subjected to entanglement when running machine tools;

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A. Must familiarize himself/herself with gas mask location and operation techniques before working in

an environment where toxic gases are stored and used;

A. Must not handle acids without wearing such appropriate apparel as goggles, rubber apron, rubber

gloves, and the like;

A. Must never look into the arc of a welding torch; must make sure, when welding, to wear both welder

shield and gloves; must not weld in unventilated area; must be certain that no combustible materials or gases are

present; must never weld a tank or pressure vessel without ensuring pressure has been released and tank or vessel

has been purged of toxic or combustible material, and must ensure that proper grounding techniques are followed in

electric arc welding and that working area is not damp or moist;

A. Must discontinue outside activity during a lightning storm and take cover in a shelter;

A. Must never attempt to move a downed electrical wire but must call an electrician;

A. Must make sure, when operating cranes, or equipment of any type, to be familiar with the location

of all utilities or seek the assistance of a qualified individual knowing such locations;

A. Must always maintain a clean work area and guard against grease or oil spots; when finished with

tools, must return them to their proper place and not leave them on the floor or in an elevated position where they

may cause an accident;

A. Must, when opening a boiler door, always stand to one side;

A. Must ensure that all electrical equipment is “off” and that an appropriate sign is hung on the control

switch before servicing and must also take necessary steps to see that the work area is dry and equipment is

properly grounded;

A. Must, when working in an area where overhead work is being performed, wear head protection that

conforms with OSHA requirements (OSHA Standard 1910.135, Occupational Head Protection);

A. Must not work alone in hazardous environments;

A. Must make sure, when working in excavations, that walls are properly shored; must see that proper

barricades and/or covers are employed and signal markers are used;

A. Must be sure, when working near or on roadways and sidewalks, to display proper caution signs and/or

barricades; if it is necessary to walk on the shoulder of a highway, must always walk on the left side facing

oncoming traffic and wear light colored clothing and carry a flashlight at night;

A. Must not run a gasoline engine in closed quarters without proper ventilation;

A. Must, when operating a bench power saw, push work through saw with a stick, use stick to slide scraps

out of work area, and not attempt to reach over saw blade or place hands in vicinity of saw blade;

A. Must not drive heavily loaded vehicles over a bridge without checking to see whether load limit of the

bridge is exceeded; and before driving under an overpass, check to see whether clearance height is adequate;

A. Must not attempt to replace a blown fuse but must call for an electrician;

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A. Must never smoke when filling a vehicle's gas tank or in the area where batteries are being charged;

A. Must never wedge or block a fire door in an open position for convenience or ventilation;

A. Must find out, when storing materials, whether all material is stacked, blocked, interlocked, and limited

in height so that it is stable and otherwise secure against sliding or collapsing;

A. Must make sure, during construction, that all openings in floors and roofs, such as stairwells, shaft

ways, and pits are provided with an enclosure guard securely anchored in the opening (OSHA Standard 1910.23,

Guarding Floor and Wall Openings and Holes);

A. Must not attempt to operate equipment, machinery or power tools that he/she is not qualified to operate;

A. Must exercise extreme caution when handling compressed gas cylinders; if cylinders are to be stood on

end, must make sure that they are chained and/or anchored to keep them from falling over; and A. Must, when handling a large load, secure the load properly.

A. IN ALL INSTANCES, THE EMPLOYEE MUST COMPLY WITH ALL PROVISIONS OF OSHA.

1104.02 PLANT OPERATIONS ADMINISTRATION

1104.0201 Personnel Functions

The Personnel Section of Plant Operations Administration is responsible for the preparation of all documentation necessary in the hiring, discipline, and termination of Plant Operations employees.

This preparation includes processing of annual and sick leave records on all employees. All such

records will be prepared, processed and maintained in accordance with Human Resources

Management Policies and Procedures (Section 800) and all other applicable University and Board of

Regents Policies and Procedures.

1104.0202 Payroll Records

The Payroll Records Section maintains payroll records on all employees within Plant Operations and forwards payroll information to the Office of Fiscal Affairs as required. It reports all payroll information, including annual and sick leave taken and any amounts of overtime pay authorized.

1104.0203 Requests for Purchases

Requests for Purchase are prepared and processed for all Plant Operations functions. When

merchandise is received or services rendered, a receiving report document is completed to authorize

payment of the signed invoice and sent to the Accounts Payable section for payment.

1104.0204 Routine Job Requests

Any University employee may make routine job requests (plumbing, electrical, air-conditioning problems) by contacting the Plant Operations Receptionist (430-4702) any time during University work hours. Such repairs will be completed when possible.

1104.0205 Requests for Vehicles (Motor Pool)

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Department/Unit Heads, must initiate requests for rental vehicles (station wagons, vans, or bus) by

writing to the Plant Operations Department. The Plant's Administrative Section is responsible for

dispatching the fleet of rental vehicles on a first-come, first-served basis. After approval, Plant

Operations will notify the requesting individual, who will be responsible for picking up the keys and

the vehicle from the Motor Pool. After use the individual must return the vehicle to the parking lot and the keys to the Plant Operations Receptionist. NOTE: Returned vehicles do not need to be refueled.

1104.0206 Computing Support

The Administrative Services Section of Plant Operations also provides computing support to each Department/Unit, of the Plant Operations Department. It maintains formats for routine reports, specifications, bid documents, and other correspondence of a recurring nature. It offers individual support to each Supervisor.

1104.0207 Other Functions

The Director of Administrative Services and the Assistant to the Director perform such miscellaneous functions as maintenance of a computerized record of utility use on campus and all

budget formats. They perform other duties as determined by the Plant Operations Director. Their sections also have responsibility for:

Miscellaneous drawings;

Custodial care and storage of documents (Building “as-built” drawings, Contract documents and current projects documents;

Printing of plans (blue line work, and the like);

Drafting supplies;

Maintenance of library of miscellaneous catalogs and building maintenance manuals; and Surveyor tasks:

Project layout and engineering, and
Miscellaneous topographic information.

1104.0208 New Facilities Planning

The New Facilities Planning section is responsible for in-house planning and design of local projects

as approved by the Vice President for Fiscal Affairs. Projects, besides building planning and

design, include remodeling buildings, designing and laying out parking lots, streets, and utilities and

rendering landscape designs and improvements.

1104.0209 Specifications and Contract Documents

The Assistant to the Director of Plant Operations writes specifications, administers contracts, reviews and prepares change orders and recommends approval or disapproval of periodic pay

estimates on a multitude of contracts administered locally or through the Office of Facilities at the

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Board of Regents. He or she also writes and administers small construction contracts and Professional Services contracts.

1104.03 GROUND MAINTENANCE

1104.0301 Landscape Operations

Maintenance and refurbishment of grounds must be a continuing effort to ensure a neat and attractive campus. Landscape Operations is responsible for the following:

A. Shrubs - planting, trimming, fertilizing and pest control (insects and diseases);

A. Trees - planting, replanting, pruning, emergency trimming, removal and pest control;

A. Development of new facilities - preparation of ground development plants, seeding and sodding of lawns,

and general beautification projects; and

A. Pavement maintenance - pavement, sidewalks, parking lots maintenance provided routinely. New

sidewalks and parking lots are constructed as the need arises and appropriate funding and approvals are obtained.

1104.0302 Grounds Care and Maintenance

Routine and recurring maintenance of grounds and parking lots is accomplished to keep the campus attractive. Specific services include:

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A. Lawns - Mowing, fertilization, and general care are conducted as the need arises;

A. Edging - All walks, roads, curbs, and beds are carefully edged regularly to add a touch of excellence

and grooming to the campus;

A. Irrigation - Because some campus areas do not have automatic irrigation, it is necessary to water these

areas to maintain attractive lawns;

A. Parking lots/streets - Sweeping and other cleaning of parking areas and streets are performed regularly;

A. Leaf and litter removal;

A. Scheduled garbage pickup from University facilities; and A. Special pickup of trash items.

1104.0303 Greenhouse Operations

Specific services of Greenhouse Operations include the following:

A. Decorative Plants - Growing and storage of plants in the greenhouse for use in the flower beds on

campus. Additionally, plants are made available upon request for bona fide University functions when these plants

are in stock and available;

A. Planting, fertilization, and maintenance of all campus flower beds; and A. Design of new beds and landscape projects throughout the campus.

1104.0304 Disposal of Dead Animals

Those Departments/Units having dead animals or animal parts to be disposed of must contact the Plant Operations Department and arrange a special pickup before disposing of these materials in the dumpsters. All animals and animal parts must be placed in plastic bags and sealed. Should animals or animal parts need disposing of on the weekend or holidays, they should be placed in plastic bags and refrigerated until the first workday after disposal is required.

1104.04 BUILDING SERVICES

1104.0401 Carpentry Shop

Through scheduled maintenance, unscheduled repairs and emergencies, the Carpentry Shop

makes repairs, alterations, and other changes to academic buildings, athletic facilities, and

residence halls. This includes scheduled maintenance and unscheduled repairs and emergencies. It also repairs and renovates furnishings and equipment brought into the shop. Additionally, it supports project work in the renovation of facilities and repair of existing facilities; it constructs cabinets for Departments/Units on a charge back basis.

1104.0402 Locksmith

The Locksmith works under the guidance of the Carpentry Shop Supervisor. He is responsible for

recording combinations of all locks for rooms in each building at Albany State University. This

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record includes the combinations, re-keying, repair, and installation of locks, closures, and other finish hardware.

Requests to have locks taken off the Building Master System must be submitted in writing, giving

the reason the lock requires departure from policy. As a rule, only extremely sensitive areas such

as narcotic or dangerous chemical storage will be granted permission to have locks removed from

the Building Master System.

Duplicate keys are available upon request by Department/Unit Heads. They can obtain keys by

forwarding a Key Request to the Vice President for Fiscal Affairs, who will forward the request to the

Plant Operations Department.

Except for those that fit mechanical and custodial rooms, Master keys open all locks in a particular

building. Since mechanical and custodial rooms are the sole responsibility of the Plant Operations Department, building occupants do not, as a matter of course, have keys for access to these rooms.

1104.0403 Paint Shop

The Paint Shop is responsible for all painting maintenance of building interiors and exteriors. This shop also stains and finishes furniture and items constructed in its shop and paints various signs. Under normal conditions, the Shop requires a two-week notice for service.

1104.0404 HVAC and Mechanical Shops

A. Heating, Ventilation, and Air-conditioning Shop

The work force of the Heating, and Air-Conditioning (HVAC) Shop is primarily responsible for maintaining the present air-conditioning systems and constructing new systems. Additionally, its technicians are called upon to repair, for other Departments/Units, such specialized equipment as extremely low temperature boxes, household refrigerators, water coolers, and the like. HVAC is also responsible for operating the Central Energy Plant.

A. Mechanical Shops

Several shops have been consolidated under the supervision of the Mechanical Shop Supervisor.

A. Welding Shop

The Welding Shop is responsible for all welding jobs. It produces such specialized items as fence gates, handrails, equipment guards, and structural supports. This Shop supports other shops in construction projects, structural components and supports, pipe welding and other specialized tasks. Only qualified personnel should use welding equipment.

A. Plumbing Shop

The Plumbing Shop is primarily responsible for the installation and maintenance of all campus plumbing fixtures, sinks, commodes, sanitation lines, sewers, water lines, and steam lines and components. This Shop installs piping and plumbing fixtures in renovation projects and major repair projects.

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A. Electrical Shop

The Electrical Shop is primarily responsible for the maintenance and construction of all high voltage and low voltage power systems on campus. Its personnel also maintain electrical equipment for Plant Operations and other Departments/Units. It does all routine maintenance of electrical circuits, outlets and lighting fixtures. Routine changing of light bulbs or tubes is done by the Custodial Department.

1104.05 (NOT USED)

1104.06 CUSTODIAL SERVICES

Custodial Services of the Plant Operations Department consists of day-shift and night-shift

operations; it is responsible for cleaning all administrative and academic buildings and the common

areas of all residence halls on the campus. It is also responsible for routine changing of light bulbs

or tubes.

1104.0601 Work Time Schedule

Day Shift

a. Start of work at 8:00 a.m.,

b. Lunch time from 12:00 p.m. to 2:00 p.m. in one hour increments, and c. End of regular work day at 5:00 p.m.

Night Shift

a. Start of work at 5:00 p.m.,

b. Dinner and 1st break 8:30 p.m. to 9:00 p.m., and

c. End of regular work day at 1:30 a.m.

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A. Classrooms

Duties to be performed by Custodians in classrooms include:

Cleaning chalk boards daily,

Emptying trash cans, and

Dusting and sweeping or vacuuming.

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A. Offices

Duties to be performed by Custodians in offices include:

Dusting (only open areas of desk surfaces to be cleaned during regular dusting procedure):

Dusting entire desk surfaces, provided the user of the desk will remove all objects and material from the surface of the desk at a time appropriate to the Custodian's routine cleaning schedule.

Emptying all trash containers daily; and

Sweeping or vacuuming traffic lanes daily and other areas at discretion of Supervisor. Under no circumstances will Custodians to do personal favors. They will not perform special tasks unless instructed to do so by Custodial Supervisors.

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A. Rest Rooms

Duties to be performed by Custodians in restrooms include:

Cleaning rest rooms daily,

Stocking rest rooms during initial cleaning, and

Restocking rest rooms before the end of workday.

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A. Glass

The Custodian assigned to an area will clean inside glass and entrance doors. When directed by the appropriate Supervisors of the Custodial Department, a special cleaning crew will clean outside windows and other glass.

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A. Entrances, Foyers, and Walkways

The Custodian assigned to an area will clean all entrances, foyers, and walkways daily.

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A. Light Fixtures and Blinds

The Custodian assigned to an area will dust light fixtures and blinds. The Special Cleaning Crew, when directed by the appropriate Supervisor of the Custodial Department, will perform general cleaning of blinds and light fixtures.

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A. Carpet Shampooing

The Custodian assigned to an area will shampoo or spot clean carpet, as directed by the appropriate Supervisor.

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A. Extra Cleaning

For special cleaning work not included in scheduled cleaning by the Custodial Department, a Department/Unit must telephone a request to the Plant Operations Department (430-4702). To assist in obtaining such special or extra cleaning in an efficient and timely manner, each Department/Unit should make its requests at the earliest possible time.

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A. Pest Control

A contracted exterminator routinely sprays all campus buildings including residence halls rooms and apartments. Except for the Dining Hall, which is done at least weekly and more frequently, if needed, the Exterminator sprays all areas monthly. The University has contracted extermination services.

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1200 STUDENT FINANCIAL SERVICES

1201 GENERAL RESPONSIBILITY

The Financial Operations Department, which reports to the Vice President for Fiscal Affairs, is

responsible for Student Financial Services, including, but not limited to, all accounting functions for

Student billings, payments, refunds, loan collections, and financial aid receipting. The personnel of

the Financial Operations Department and other Fiscal Affairs staff assigned on a temporary, asneeded

basis, will perform the business and finance functions of Student Financial Services during Registration.

The Student Financial Aid Office, which reports to the Vice President for Student Affairs, is responsible for the receipt of applications, processing of applications, determination of eligibility, making of awards, notification of awards, and all other functions concerning Student Financial Aid before, and including, the notification of an award.

A clear and distinct delineation of responsibility must be made in this area. The Fiscal Affairs Staff has no formal involvement or responsibility with Student Financial Aid before the actual award of such aid. This is solely the duty, function and responsibility of the Student Affairs' Office of Financial Aid and, to some extent, the Admissions Office. Subsequent to the award the Fiscal Affairs Staff (of the Financial Operations Department) is responsible for setting up accounts receivables; processing all proceeds of awards; issuing bills for student aid, where applicable;

making refunds according to requirements of the donor, granting or lending agency, and policies and

procedures of the University System of Georgia; performing all accounting and reporting functions

for the student aid funds; and administering any other related post award Fiscal Affairs operations. In the handling of student financial aid, the University must meet all requirements of Federal and State agencies.

1202 STUDENT ACCOUNTS BILLING AND ACCOUNTING

The Director of Financial Operations is responsible for developing systems and procedures (integrated and processed with the requirements of the Board of Regents' College and University Fund Accounting System and other applicable Board of Regents requirements) to handle student accounts billing and accounting functions, in an accurate, efficient, and timely manner.

1202.01 INTERNAL OPERATIONS PROCEDURAL GUIDES The Director of Financial Operations and/or designated members of this Department's staff are responsible for developing and publishing detailed procedural guides and instructions for employees

of the Department and for those used temporarily for Registration. These guides and instructions and training sessions will be used to train thoroughly its employees in Registration procedures.

Such documents and training sessions will cover, but not be limited to, the following:

- Establishing student accounts receivables;
- Preparing and processing student bills (and letters);
- Processing student payments;
- Processing payments for scholarship recipients;
- Billing scholarship, grant or loan sources, as required;
- Processing withdrawals, administratively dropped, classes, and similar matters;

Processing refunds for withdrawals, administratively dropped classes, moving out of residence halls, and the like;

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- Processing grant-in-aid payments;
- Processing payroll deductions for the CWSP and student labor payrolls;
- Processing returned checks;
- Handling book slips;
- Operating payment stations during registration;

Handling Early Registration procedures;
Handling drop/adds;
Invoicing tuition assistance accounts;
Processing adjustments to student accounts (tuition, fines, book charge, Residence hall fees, and similar charges);
Processing loan funds; and
Collecting loan funds.

1202.02 REGISTRATION PROCESS

The Director, Financial Operations Department, with appropriate staff of the Department, will develop

Registration procedures in conjunction with appropriate staff of the Academic and Student Affairs Divisions (Admissions Office, Financial Aid Office, for example). Such procedures, deadlines, and processes will be developed, published and disseminated before the Registration period for academic semesters (when necessary and/or as changes occur) in sufficient time adequately and properly to inform Student's, Faculty and other Administrators involved in, or affected by, Registration so that each will be completely familiar with requirements, and be able to conduct an orderly and efficient process.

1203 FEES

Fees are due and payable upon registration. Acceptable payment procedures are based on certain criteria.

1203.01 DEFERRED FEES

For a Student whose fees are guaranteed and will be paid by an outside agency under a document agreement with the University, the University may defer fees up to the amount authorized for a specific academic semester.

The University may defer fees up to the amount of aid granted for fees for a specified academic

semester for a Student who has an approved University-administered loan or scholarship in process. For a specified academic semester for a foreign Student who has a certificate or other acceptable documented evidence that payment of fees will be made after a statement of charges from the Student has been presented for payment, the University may defer fees up to the limit stated in the certificate or other document. (BR Policy 704)

1203.02 TYPES OF FEES

1203.0201 Mandatory Fees

Mandatory fees are those fees that must be paid by all Students unless waivers are specifically approved by the Board of Regents. There are two categories of mandatory fees:

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1. Fees such as matriculation fees and nonresident tuition mandated by the Board of Regents for all University System students; and 2. Fees such as activity fees, University athletic fees and other fees mandated by Albany State University and approved by the Board of Regents for all Students at the University.

1203.0202 Elective Fees

Elective fees are established by the University, approved by the Board of Regents Chancellor (or his or her designee), and paid by Students who elect and/or benefit from the specific services.

Examples of elective fees are residence halls rentals, food service, and post office box rental.

1203.03 PENALTY CHARGES

Penalty charges are established to discourage undesirable practices and must be paid according to

schedules (University Catalog and Registration procedures, for example) established and published

by the University. They are divided into two categories:

1. Penalty charges approved by the Chancellor or his or her designee for charges such as late registration fees; and
2. Penalty charges established by the University and approved by the President, for such charges as traffic and parking violations. (BR Policy 704.02)

1203.04 FEE WAIVERS

The University may waive certain fees only in strict compliance with Board of Regents Policy No.

704.03 and policies published in the University Catalog.

1203.05 REFUNDS

Refunds for Students withdrawing from the University may be made only in the percentages and conditions stated in Board of Regents Policy 704.04 and published in the University Catalog. Refunds of student aid must comply with the requirements of each specific type of aid.

1204 ASSIGNMENT OF STAFF DURING REGISTRATION

During Registration, with the approval of the Vice President for Fiscal Affairs, any employee of the Division of Fiscal Affairs may be assigned to assist in the timely and efficient registration process by performing duties and responsibilities in addition to those of the employee's regular job.

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1300 ADMINISTRATIVE COMPUTING AND FISCAL AFFAIRS DATA SYSTEMS MANAGEMENT

1301 GENERAL

At Albany State University, computing and data systems resources and operations are concentrated by function: Academic Computing, which is operated and managed by academic administrators, and Administrative Computing, which is operated and managed by the Financial Operations Staff reporting to the Vice President for Fiscal Affairs and the Director of Information Technology reporting to the President. Responsibilities for Administrative Computing and data systems development and management are decentralized in three areas.

1301.01 BOARD OF REGENTS UNIVERSITY SYSTEM COMPUTER NETWORK (USCN)

The University's computing systems are networked with the University System Computer Network (USCN) based in Athens, Georgia. The University's systems communicate with USCN computers and provide capabilities for uploading and downloading reports, data and other information, as required by the Central Office of the University System of Georgia. All accounting data systems— budgets, inventory, and other fiscal operations—are managed, operated and stored according to policies and procedures promulgated by the Board of Regents' Central Office. Strict adherence to these requirements is essential.

The Financial Operations Department, reporting to the Vice President for Fiscal Affairs, is

responsible for the Fiscal Affairs computing and data systems, which are a part of the Board of

Regents' USCN. The Director of Information Technology, reporting to the University President, has

total technical responsibility for operation of the systems.

1301.02 FISCAL AFFAIRS SYSTEMS

Besides the responsibility for operating the Board of Regents College and University Fund

Accounting Systems, and other Board of Regents Central Office controlled Fiscal Affairs systems

on the University System Computer Network (USCN), the Financial Operations Department, which

reports to the Vice President for Fiscal Affairs, provides other data processing support services to such functions as Inventory Control, Procurement, Plant Operations, Student Housing, Cafeteria, Postal Services and Bookstore. Various administrative offices use microcomputers, remote terminals, and other systems (either as stand alone or interactively with the mainframe computer) to perform such functions as preliminary budgets, word processing, and systems development.

The Accounting and Support Staff of the Financial Operations Department also uses microcomputers for maintaining data files for such needs as telecommunications records, accounts

payable, student accounts, post office, inventory control, and vehicle records.

1301.03 OTHER ADMINISTRATIVE SYSTEMS

The Director of Information Technology and his or her Staff of data processing personnel are

responsible for all non-Fiscal Affairs computing systems (Student Records, Student Registration,

Class Schedules, Library records and Admissions data, for example). The Director of Information

Technology is also responsible for the technical management of the Computer Center and any

campus-wide networking systems. In addition, he or she serves as the Coordinator of both shortterm

and long-term planning for computer services on campus.

1302 ELECTRONIC DATA PROCESSING PLAN

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As required by the University System Board of Regents, the University maintains an Electronic Data

Processing Plan and updates it annually. This plan is a complete overview of the University's data

processing resources, systems and services. It includes plans and policies that affect academic

and administrative use of computers; an inventory of computer facilities, including hardware and

software; a plan for improvement of computer facilities; and an established listing of priorities for data processing (computing) needs. At the University, the Electronic Data Processing Advisory Committee is responsible for the University's plan and annual updates submitted to the Office of the

Board of Regents' Vice Chancellor for Computing Services. The Director of Information Technology

and the Vice President for Fiscal Affairs are primarily responsible for executing the plan.

1303 ELECTRONIC DATA PROCESSING COMMITTEE

Appointed by the University President, the Electronic Data Processing (EDP) Committee consists of the Vice President for Academic Affairs, the Vice President for Fiscal Affairs, the Director of Institutional Advancement and the Director of Information Technology, who chairs the Committee.

The EDP Committee oversees the acquisition, allocation and distribution of all computing equipment

approved by the President. Its purpose is to ensure that the acquisition and use of computers and

related computing equipment (including software) at the University conform to the University's EDP

Plan and the policies of the University, the University System and the State of Georgia.

Through its authority assigned by the President, the EDP Committee is expected to accomplish the

following:

1. Ensure that the acquisition of computing equipment and the development of data processing systems conform to the long-range plans for computing at Albany State University;
2. Ensure that acquisitions of computing equipment and software comply with the established approval process; and 3. Ensure that computer equipment is monitored for maximum, effective use.

1304 ALLOCATION AND PRIORITY FOR USE OF UNIVERSITY COMPUTER RESOURCES

The allocation and use of computer resources at Albany State University must comply with specific

provisions of the University's EDP Plan; provide for optimum and convenient access to computers by Students, Faculty and Administrative Staff; and ensure cost-effective acquisition of computer resources for academic and administrative uses.

1304.01 Generally, academic and administrative computing activities and services will be separately

maintained to avoid conflicts in the demands for resources.

1304.02 Administrative computing is the priority of the Computer Center and the Data Processing staff of the Financial Operations Department.

1304.03 Academic Computing is the top priority of academic Departments/Units having computing resources and of such resources used for instruction and research.

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1304.04 In any conflict for priority use of Computer Center facilities, the Director of Information Technology and the Vice President for Fiscal Affairs will jointly resolve the problem. If necessary, the President may make the ultimate decision.

1304.05 In academic areas, priorities will be determined by the Head of the area in which the Data Processing resources are located. The microcomputer laboratories in such Departments/Units as Business and Mathematics and Computer Science are intended to facilitate instruction in those Departments/Units, thus determining priority use. When such laboratories are not in use for instruction by the Departments/Units responsible for them, they may be made available for use by other areas of the University.

1304.06 The policies and procedures governing the use of academic computing equipment in the various centers, laboratories or other facilities are formulated and implemented by the individual Departments/Units that supervise the facility. In most such facilities, priority is given to the Departments'/Units' Faculties and Students; however, the computing resources may be used for official purposes by anyone connected with the University, subject to the approval of the Administrator in charge of the facility. Appropriate Administrators in charge of computing resources

should establish sign-in procedures and identification procedures to ensure proper use and security. In the Library, procedures governing use of computers conform to the regulations for use of other facilities in the Library.

1305 ACQUISITION APPROVAL

The acquisition of computer hardware and software is subject to normal budgeting and procurement

policies and procedures of Sections 200 and 900 of this Manual. As funds are appropriately

approved, orders to acquire computer resources are placed according to provisions of the applicable

sections of the Manual. Specific areas or the University at large can initiate requests to procure hardware or software; however, all requests must receive EDP Committee

approval and other special EDP approvals before submission for administrative approval at the various levels.

1306 RESTRICTIONS ON USE OF COMPUTING RESOURCES

1306.01 Use of University computing and data systems resources (including account numbers,

interactive terminals, data storage media, other peripherals, microcomputer systems, software and

technical expertise) is restricted to official University uses authorized by appropriate officials of the

University. The University strictly prohibits use of these resources for computing activities other than those authorized by appropriate University officials. Personal use of such resources is included in the prohibited category.

1306.02 If a need develops for an official use not previously authorized or approved, an individual or

Department/Unit must obtain appropriate authorization before such use.

1306.03 Use of such resources other than as authorized by the University is regarded as a criminal

act in the nature of theft and will require restitution of any theft of computing resources and for any

cost incurred by the University as a result of such misuse.

1306.04 The University strictly prohibits unauthorized duplication or alteration of software licensed to

the University.

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1306.05 In any investigation of misuse of computing resources, the University reserves the right to

inspect, without notice, the contents of computer files (despite storage media) and systems output such as computer printouts.

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1400 DEPARTMENT OF PUBLIC SAFETY

1401 INTRODUCTION AND OBJECTIVES

Albany State University consists of a unique, and diverse society. In order for the Faculty, Staff,

Students and Visitors to function effectively in an environment that is safe and advantageous to the

University's mission, the Department of Public Safety must maintain the following primary objectives:

Physical well-being and personal safety of Faculty, Staff, Students and Visitors within jurisdiction of the University;

Safety and security of personal possessions of Faculty, Staff, Students and Visitors within the University's jurisdiction of the University; and Safety and security of State and University properties and possessions within the boundaries and/or jurisdiction of the University; and Performance of its objectives, mission and services in consonance with the University's basic function—the education of students—by using professional methods and attitudes that, through daily practice, will support the University's educational objectives.

1402 MISSIONS AND SERVICES

The basic mission of the Public Safety Department is to provide, according to previously stated objectives, services for Faculty, Staff, Students and Visitors. These services include the following:

Prevention and repression of crime,

Preservation of peace,

Apprehension of violators of laws and regulations,

Protection of life and property,

Investigation of reported offenses and pursuit of appropriate prosecution and/or disciplinary action,

Regulation of noncriminal conduct,

Enforcement of laws and regulations relating to parking and traffic control;

Provision of general police services to the University community;

Collection and preservation of physical evidence, and

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Establishment and maintenance of enforcement policies consistent with the requirements of regulations, law and the best traditions of a Democratic Society.

1403 GENERAL POLICIES

1403.01 GOAL STATEMENT

The Department of Public Safety will provide sound program services and a system of justice which is legal, practical and responsive to the interests of all constituents, which receives community support and which is proper support to preserving the ideals of scholarship and protecting academic freedom.

1403.02 STUDENT RELATIONS

In the interest of assisting Students to learn and practice responsibilities of good Citizens, the personnel of the Department of Public Safety, through their action and measures, will provide for a minimum of administrative enforcement and a maximum of self-regulation. Although arrest and prosecution are essential methods of police operations, the Department exercises discretion by using such alternate measures as warnings and/or transfer of minor or first offenses to the University disciplinary or judicial processes. Serious law violations (including felonies), however, are subject to appropriate criminal prosecution.

1403.03 CITIZEN INVOLVEMENT

The Department of Public Safety will encourage Citizen (Community) involvement and aid in identifying program areas to assist Faculty, Staff, Students and Visitors in crime prevention measures.

1403.04 COOPERATION

Personnel of the Department of Public Safety will always practice a spirit of patience and cooperation, yet will ensure orderly procedures and safeguard the rights of individuals and protect the interests of the University.

1403.05 SHIFT SUPERVISOR DISCRETION

At their discretion Shift Supervisors may override the decision of a subordinate in a police action when such action is not in the best interest of the Department or the University, or does not present sufficient cause to warrant police action. In such cases the Shift Supervisors will be responsible for their decision to reverse or override a subordinate.

1403.06 SECURITY SYSTEM ON CAMPUS

Any University official who deems it necessary or advisable to procure any type of alarm or security

system for protecting University facilities and/or equipment must notify the Department of Public Safety which will coordinate the assessment, design, specifications, procurement and installation, and other aspects of such a system. Although the appropriate official of the requesting Department/Unit is responsible for this action, the

Director of Logistical Services is responsible for ensuring that no procurement action is taken without compliance with this requirement.

1403.07 UNIVERSITY INTERACTION WITH THE JUDICIAL SYSTEM

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Except for the President, the Department of Public Safety is the sole contact for any interaction with any entity of the judicial system (attorneys, magistrates, law enforcement agencies, judges, and the like) and is responsible for the coordination of such interaction for any University-related matters.

1403.0701 When an employee of the University is contacted in any manner by an entity of the judicial system regarding criminal investigations, litigation, or other judicial action or procedures concerning the University or University-related matters, he/she must immediately notify the Director

of Public Safety or the Investigations Division of the Department of Public Safety.

1403.0702 The Department of Public Safety will conduct or coordinate appropriate investigations; will coordinate and act as liaison with all Federal, State, County, City or other law enforcement agencies or other judicial entities; will maintain appropriate files and records of all actions taken; and will provide further assistance as needed to individuals (Faculty, Staff, Students, and Visitors) of

the campus who are involved in any type of investigation or other judicial action affecting the University.

1404 GENERAL RESPONSIBILITIES AND AUTHORITY

1404.01 DIRECTOR OF PUBLIC SAFETY

1404.0101 Authority

The Director of Public Safety is directly accountable to the Vice President for Student Affairs. The

Director is the Chief Executive Officer of the Department and the final Departmental authority in all

matters of policy, operations and discipline. He/she exercises all lawful powers of his or her office and issues such lawful orders as are necessary to ensure the effective performance of the Department.

1404.0102 Responsibilities

Through the Director, the Department is responsible for the enforcement of all laws and ordinances

within its legal jurisdiction. The Director is responsible for the planning, directing, coordinating, controlling, and staffing of all activities of the Department; for its continued and efficient operation;

for the enforcement of its rules and regulations; for the completion and forwarding of such reports as

may be required by competent authority; and for the its relations with the Faculty, Staff, Students and Visitors of the University, the County, the City, State government and other agencies.

1404.02 JURISDICTIONAL AUTHORITY

1404.0201 All certified police officers shall have full police authority on all Albany State University property which is under the direct control of the Board of Regents of the University System of Georgia.

1404.0202 Officers detailed to work University sponsored functions shall be responsible for providing full police services at such functions.

1404.0203 Officers will restrict their primary police activity to the immediate campus area that includes the perimeter streets of the campus. Officers will not patrol the area within the 500-yard

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radius provided for and specified in the Georgia State Code of Laws except to check properties not

on the campus but under the direct control and responsibility of the Board of Regents.

1404.0204 Officers will not respond to other law enforcement agency police calls outside

University jurisdiction or within the 500-yard radius cited above unless they are specifically requested to do so by the appropriate law enforcement agency.

1404.0205 Traffic violations occurring outside University jurisdiction shall not serve as the basis for detention by a Public Safety Officer.

1405 COMMAND AUTHORITY AND RESPONSIBILITY

1405.01 COMMAND RESPONSIBILITY

A Commanding Officer (Director, Associate Director or Shift Supervisor, for example) is responsible

for every operational and administrative aspect of a specific Department function within legal

restraints and policy guidelines. A Commander has the authority to coordinate and direct assigned

personnel and other allocated resources to achieve organizational objectives.

1405.02 DEPARTMENT STRUCTURE AND RESPONSIBILITIES

1405.0201 The Director of Public Safety is the Executive Officer of the Department and is responsible for formulating policies and ensuring that all policies are understood and applied. The Director is responsible for all budget development and management. He/she directly supervises the

Department Secretary and the Associate Director who supervises the Investigator/Fire Safety Officers, the Parking Monitor and the Shift Supervisors.

1405.0202 The Associate Director serves as the Uniform Patrol Commander and is responsible to

the Director of Public Safety for the following:

Supervising all officers under his or her command;

Maintaining, inventorying and issuing all operational equipment in the Public Safety Department;

Ensuring employee compliance with Department policies and procedures;

Evaluating subordinate employee performance and Department productivity;

Managing Field Training Officer program;

Preparing and monitoring the budgets for the Patrol Division;

Approving shift schedules prepared by Shift Supervisors;

Coordinating employee training with the Shift Supervisors and Investigator;

Supervising operations of Student Parking Patrollers;

Making reports and recommendations to the Director of Public Safety concerning the status of Department vehicles, communications equipment, and labor allocation;

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Coordinating preliminary investigations with the Shift Supervisors;

Coordinating all requests for officers to work extra duty functions;

Coordinating all security staffing for special events on campus;

Supervising all communications personnel;

Supervising all records management personnel;

Coordinating all crime prevention programs;

Performing Department planning and development functions and maintaining Department library;

Maintaining all Department criminal records and operational statistics;

Facilitating all Department training to comply with Police Officer Standards and Training Council and maintaining all training records;

Managing all crime analysis functions;

Preparing Public Safety annual reports; and

Conducting security surveys and crime prevention presentations.

1405.0203 The Investigator/Fire Safety Officer serves as Chief Investigator and is responsible for the following:

Ensuring the completion of all latent investigations;

Ensuring employee compliance with Department policies and procedures relating to investigations;

Supervising Investigator trainees assigned to the Investigations Division;

Assigning cases to Officers, training them and evaluating their performances;

Conducting all pre-employment investigations and internal affairs investigations;

Conducting Fire Safety inspections, fire drills, and other investigations related to Fire Safety;

Coordinating all Fire Safety education and preventive measures;

Reviewing building plans and specifications for new or renovated facilities for compliance with Fire Safety regulations, laws, measures, and the like; and Reviewing and approving the acquisition of all alarm systems.

1405.0204 The Department's Secretary is responsible to the Director for clerical and administrative support as follows:

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Maintaining all administrative files;

Handling all administrative aspects of payroll, leave records and employee personnel files for full-time, part-time and Student employees;

Typing all general correspondence for the Director or other persons as directed;

Attending and preparing minutes of all Department staff meetings;

Maintaining inventory control system for all Department office supplies;

Maintaining budget tracking system to include records of all purchases, budget amendments, and reconciliation of all budget reports and providing budget recommendations to the Director;

Maintaining and coordinating the Director's calendar; and

Making all travel arrangements, ensuring appropriate reimbursements and maintaining all required travel records.

1406 PROCEDURES FOR SPECIAL ITEMS

1406.01 CRIMES OBSERVED OUTSIDE AREA OF JURISDICTION

Should an on-duty Officer witness a felony in progress outside the campus jurisdiction, the following

procedures must be effected:

The Officer must immediately notify the Shift Supervisor on duty as to what has been observed. The Shift Supervisor will then direct the on-duty Dispatcher to notify the appropriate law enforcement agency of the situation and request assistance;

The Officer must take appropriate action to detain the offender, fully adhering to proper safety procedures and all Department of Public Safety rules and regulations;

If the Officer detains an offender the on-duty Shift Supervisor must respond to the scene immediately;

Upon arrival of the law enforcement agency having jurisdiction, the detaining Officer must relinquish custody of the offender to that agency and give full details about what occurred;

The Officer must complete an incident report explaining in full detail all actions taken; and The Shift Supervisor must report the facts of the incident to the Patrol Commander as soon as possible.

1406.02 ENFORCEMENT OF TRAFFIC AND PARKING REGULATIONS

1406.0201 Responsibility

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A. The Associate Director must ensure that Public Safety Officers and Student Parking Patrollers consistently enforce University parking regulations.

A. Student Parking Patrollers are under the supervision of the Parking Monitor for day-to-day responsibilities.

A. The Parking Monitor is responsible for all administrative aspects of the Traffic and Parking Enforcement

Program.

1406.0202 Issuance of Parking Citations

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A. Public Safety Officers will be issued books of University Parking Citations as needed and as appropriate.

A. The Parking Monitor or Shift Supervisor will issue Student Parking Patrollers, at the beginning of their

shifts, books of Parking Citations. Before the end of shifts, they must turn into the Parking Monitor or Shift

Supervisor all completed or partially completed books.

A. Only the Public Safety Officers may issue Uniform Traffic Citations for a parking or traffic violation.

Student Parking Patrollers may issue only University Parking Citations.

1406.0203 Zone Assignment

A. The Shift Sergeant will assign Student Parking Patrollers to patrol zones. They will patrol these zones

on bicycle and/or on foot.

A. The Shift Activity Log will reflect the zone to which each Student Parking Patroller is assigned.

A. Shift Supervisors are directly responsible for ensuring that Student Parking Patrollers are in their

assigned zones and are issuing appropriate citations.

1406.03 SPECIAL EVENT SECURITY

1406.0301 Responsibility

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A. The Public Safety Department is responsible for providing security at all functions on campus and those

functions sponsored by a University organization within the 500-yard statutory jurisdiction. Neither other law

enforcement agencies nor contract guard services may be used unless approved by the Department of Public

Safety.

A. Departments/Units planning special events such as parties, concerts, and rallies must contact the

Department of Public Safety to coordinate security needs.

A. The Associate Director is responsible for detecting security needs at a function by using the following

criteria: nature of the event, the location, expected attendance (ticket sales and type of advertising used to

estimate who will attend and whether the event will attract non students), use of alcoholic beverages, and any

security problems the sponsoring group has experienced at previous events.

1406.0302 Billing and Payment for Services

A. Security Related to Academic Functions

Generally, Departments/Units will not be charged for supplementary security for any activity directly related to an academic function of the University. Such an activity may involve guest speakers sponsored by specific academic classes, Commencement Exercises or routine campus events during regular operating hours of the University.

A. Special Security Services to be Billed

Except as provided in Section 1406.0302 A., sponsoring Departments/Units or organizations will be required to pay for any special security services required. The following Departments, organizations and/or functions will generally be charged for such services: (1) Auxiliary Services Department (revenue generating operations), (2) Athletic Departments, (3) Non-academic functions to include but not be limited to functions such as concerts, dances, parties, and any on-campus function sponsored by an off-campus organization requiring supplemental security.

A. Billing for Supplemental Security

At the completion of any event where supplemental security is provided by the Public Safety Department, the sponsoring Department/Unit will receive a billing memorandum that will detail the name of Officer(s) assigned to the function, total hours worked, amount due, cost of other services provided and the appropriate account numbers for payment transfers. The sponsoring Department/Unit will be responsible for taking appropriate action to transfer funds to the designated account(s) within two weeks.

At the conclusion of its function, a Fraternity or Sorority must pay for supplemental security services. The Fraternity or Sorority will be furnished a detailed bill for services rendered and must give the Officer(s) a check in the appropriate amount. The check must be made payable to Albany State University. The Officer(s) assigned must not accept cash or checks made payable to an individual. Subsequently the Public Safety Department Secretary will deposit the check in the appropriate account(s).

1406.0303 Duties and Responsibilities of Assigned Officer(s)

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A. The on duty Shift Sergeant or Supervisor is responsible for the actions of all Officers assigned to special events security.

A. Officers assigned to work at such functions will ensure the safety of participants and ensure compliance with all local, State and Federal laws and University policies, procedures and regulations.

A. The Public Safety Department Secretary will process appropriate payroll forms for each Officer assigned

to an event.

A. An Officer assigned to work such functions as those listed above must obtain a radio before assuming

his or her duties and must maintain radio communication with the Dispatcher.

A. The Officer must advise the on duty Shift Supervisor of the type and length of the function he/she is

working.

A. Upon arriving at the function the Officer must contact the person in charge of the function to receive

specific instructions and to coordinate his or her duties and responsibilities.

A. The basic function of the Officer will be to provide for the safety of the participants at the function.

A. He/she must assume additional responsibilities which will include, but not be limited to, ensuring that

noise levels are not excessive to the extent that they disturb neighbors or neighborhoods, ensuring that the

University's policy on the use of alcoholic beverages is enforced, ensuring that should an intoxicated person arrive at

the function he/she does not drive a vehicle away from the function, ensuring that participants do not trespass on

neighboring properties, and ensuring that no unwanted guests enter the function.

A. Discipline/Legal Situations

When an Officer observes inappropriate activity he/she must make every effort to notify the person in charge of the function and, if feasible, allow that person to act appropriately. If the situation cannot be resolved and immediate police action is not necessary, the Officer must request that the on-duty Shift Supervisor come to the scene. If the situation still cannot be resolved after the arrival of the Shift Supervisor, the appropriate official of the Vice President for Student Affairs must be contacted. Unless an emergency exists, the Officer must coordinate, with the person on call for the Vice President for Student Affairs, any decision to close a function.

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A. Arrest Situations

The Officer must carefully evaluate and consider as a last resort a decision to make an arrest at a function. Any arrest must meet existing Department of Public Safety policies and procedures.

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A. After Action Report

At the end of an event, the Officer must complete an after action report on a supplemental report form. This report must include all required information as detailed in existing policies and procedures.

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A. In Fraternity or Sorority events or other organizations required to make payments, the assigned Officer

must forward, to the Associate Director, any checks for processing. The Associate Director must forward such

checks to the Public Safety Department's Secretary for deposit into the extra compensation account.

1406.04 ESCORTS FOR UNIVERSITY FUNDS

The Public Safety Department will provide an escort service to University employees, who, within the scope of their employment, are required to carry large amounts of University funds from one campus location to another.

1406.0401 When a funds escort is requested, the Dispatcher will assign an Officer in the zone from which the escort request originated and will provide sufficient information to him/her to complete the assignment, i.e., time, location, name of person being escorted, and the destination of the escort.

1406.0402 The assigned Officer will remain close to the person in possession of the funds during the escort and will ensure that the person responsible for the funds remain with the funds throughout the escort.

1406.0403 As a rule Officers will have no contact with the actual monies except to assist by carrying locked money containers.

1406.05 BOMB THREATS

Every bomb threat will be treated seriously and as legitimate and will be immediately and thoroughly

investigated. The Supervisor or Senior Officer on duty will assume responsibilities as the on-scene

Commander. The Officers dispatched to assist in the evacuation, search, containment and resolution of the problem must display an air of calmness, determination and ability to cope with the situation.

1406.0501 Responses to a Notification of a Bomb Threat

A. The Senior Public Safety Officer on duty will:

A. Determine the number of Officers available to dispatch to the building or facility at which the bomb is

reported to be. He/she will instruct the motorized Officers not to use blue lights or sirens;

A. Assign, based on the number of Officers available, particular areas of the building to specific Officers.

Each building will have a building evacuation and search plan which must be followed to the maximum extent

possible;

A. Instruct Officers to maintain radio silence while in or near the building;

A. Instruct Officers to assist in the timely but orderly evacuation of the building before beginning the search

of their assigned areas;

A. Instruct Officers to conduct a thorough but timely search and leave the building. Once they complete

their search and no explosive device is found, they will exit, go to the area with the evacuees and notify the on-scene

Commander that the area is clear;

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- A. Ensure, should a suspected explosive device be found, that the area is completely evacuated and secured pending the arrival of an Explosive Ordnance Disposal Team or other qualified bomb disposal personnel. A minimum perimeter of 500 feet clearance is required; and
- A. Advise Officers, once the building has been searched and deemed to be clear and safe, to permit occupants to reenter building.

A.

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Individual building evacuation and search plans will be provided and used in these operations.

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A. The Officers dispatched to the scene must:

A. Proceed to the building or area in a timely but safe manner. Motorized Patrol will not use blue light or

siren;

A. Displays a calm, controlled and professional demeanor. When evacuation has been completed, Officers

will advise the on-scene Commander that they are ready to begin their search;

A. Conduct the search in a timely manner. The persons routinely responsible for the offices, classrooms,

laboratories and the like in each office's assigned area will have been instructed to search their respective area(s) for

any suspicious device that could be a bomb and to secure their office, classroom, laboratory, or other areas before

evacuating. The Officers must search these areas but must place emphasis on common areas of public access;

A. Conduct the search in all areas including, but not being limited to, public access areas, entry ways,

hallways, restrooms, waiting rooms, lobbies, trash cans, equipment rooms, insides of false ceilings, insides of heating and air-conditioning ducts, behind radiators, utility and janitors' closets, and any area closed off from public view.

- A. Be aware that bombs have reportedly been found in paper wrappings, paper bags, purses, briefcases, cardboard boxes and many other containers or disguises. The Officers' search must be timely but methodical;
- A. Remember NOT TO TOUCH any suspected device, go immediately to a safe distance and advise the on scene Commander, and assist in ensuring that the area is secured pending the arrival of an Explosive Ordnance Disposal Team or other qualified bomb disposal personnel;
- A. Leave the building as indicated on the building evacuation and search plan, should a search be concluded without incident; go to the area with the evacuees; and notify the on-scene Commander that the search area is clear; and
- A. Stand by for further instructions.

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A. Any time a suspected bomb is located explosive ordnance disposal assistance may be obtained from

??????????

1406.0502 Responsibility for Evacuation of Scheduled Classroom

In cases where the regularly scheduled classroom is required to be evacuated, it is the responsibility of the Vice President for Academic Affairs, the Faculty and other academic staff persons to plan for and advise Students of alternate locations where classes will continue at their scheduled times.

1406.06 RELEASE OF INFORMATION TO THE NEWS MEDIA

1406.0601 General

Because Police/Media relations are important to effective Police operations, the Department of

Public Safety will make every effort to maintain excellent relations with the news media. To

accomplish desired goals the Department will follow those restrictions and requirements set forth in

the State of Georgia Code.

1406.0602 Responsibilities

A. In all instances the Investigating Officer at the scene shall refer all requests for information to the

Director of Public Safety who will coordinate with other appropriate University officials and/or Departments/Units the

release of all information to the news media.

A. Requests by the news media or other interested individuals or groups for interviews with personnel

involved in investigating efforts or administrative functions must be coordinated with the Director of Public Safety or

his or her designee.

A. The Associate Director shall ensure that a copy of each daily Offense Summary Sheet is routed to the

University's Public Relations Department and posted on the Press Board.

1406.0603 Factors Determining Release of Information

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A. Information in the following categories is considered public information:

Names of complainants, victims or defendants that appear on the face sheets of original reports with the exceptions listed in Section B. below;

Names of individuals arrested and charged;

Amounts of money or property taken unless such release would hinder the investigations or when the victim requests that information not be released;

Only the victim's age, race and general location of the incident in sex offenses unless the location is the same as the victim's residence; and Such circumstances surrounding an incident or arrest as time and place, possession and use of weapons, resistance, pursuit, and identity of Arresting Officer.

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A. Information in the following categories may not be released:

Any information that would jeopardize the successful completion of an investigation;

Names of sexual battery or sex offense victims;

Names of Juvenile defendants or victims;

Names of deceased victims before next of kin are notified;

Names of witnesses;

Names of suspects unless a warrant has been issued;

Description of evidence;

Test results or confessions;

Posed photographs or interviews with the accused;

References to prior record of defendant or information regarding the character or reputation of the accused;

Specific cause of death unless verified by a medical examiner;

Personal opinions of any type involving a case; or

Details, without the approval of the Director of Public Safety, of internal affairs investigations.

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A. The news media will be denied access to a crime scene:

When a request is made by the responsible Custodian,

When law enforcement personnel deem access unsafe;

When evidence must be preserved; and

When such access would impede the work of fire fighters or police.

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Because the release of unauthorized information could interfere with or impair the successful completion of an investigation and possibly result in litigation, strict compliance with these policies and regulations is imperative.

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1500 FORMS MANAGEMENT

1501 SCOPE

This division of the Manual applies to all forms used within or among areas of Fiscal Affairs or used

University-wide when such forms are primarily related to functions of Fiscal Affairs Divisions or the

responsibilities of the Office of Fiscal Affairs. Additionally, when possible and practicable, this

division of the Manual applies to State of Georgia forms designed and/or required to be used by any

of the State's Departments or Subdivisions (DOAS, Public Safety, Board of Regents, and the like).

1502 OBJECTIVES

The general objectives of Fiscal Affairs Forms Management are:

1. To ensure that each form has a justifiable purpose, need and use;
2. To require maximum standardization, uniformity, simplicity, clarity and "user friendliness" in the design of forms;
3. To require periodic review of forms for compliance with the objectives, policies and procedures of this Manual; and
4. To provide for approval of new forms and the revision of existing forms.

1503 POLICIES

1503.01 APPROVALS

The Vice President for Fiscal Affairs or his or her designee must approve all forms described in Section 1501. Prior to printing the Vice President for Fiscal Affairs or his or her designee must approve any revision or redesign of existing forms.

1503.02 HEADINGS

All forms must have a standardized heading as follows:

Albany State University,
Office of Fiscal Affairs.

The style, size and font type for the heading should conform to the style, size and font type of the text of the form. Generally, the heading should be no larger than the other text of the form. If a University Seal is desired, it should be small and not diminish the space on the form needed for form contents.

1503.03 TITLE

Each form should have a title printed in Bold type the same size and style or slightly larger than that of the heading. The title should be as short, clear and simple as practicable.

1503.04 FORM NUMBER

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Each form must have a form number located at the bottom, left margin of the form. The size and

style of the print of the form number should be clearly readable, but smaller than that of the text of

the form. As a part of the form number, the date of latest revision, version or issue will be placed in

parentheses, i.e., ASUFA Form 100 (7/1/94) or for a revision, ASUFA Form 100 (Rev. 8/1/94).

1503.0401 Form Number Allocation

Form numbers will be allocated as follows:

General Fiscal Affairs Forms ASUFA Form 100 - 199;

Financial Operations Forms ASUFA Form 200 - 299;

Logistical Services Forms ASUFA Form 300 - 399;

Human Resources Management Forms ASUFA Form 400 - 499;

Plant Operations Forms ASUFA Form 500 - 599; and

Public Safety Forms ASUSA Form 900 - 999.

1503.05 INSTRUCTIONS AND/OR EXPLANATIONS

Instructions and/or explanations relating to the completion or use of the form must be placed, when

possible, on the back side of the form.

1503.06 DISTRIBUTION AND/OR ROUTING INSTRUCTIONS

Distribution and/or routing instructions must be placed near the bottom on the front side of the form.

Such information must be stated concisely but clearly.

1504 PROCEDURES

1504.01 APPROVAL OF NEW FORMS

Approval of the design and use of a new form (not previously existing in any form) should be requested as follows:

1. A Department/Unit must prepare a suggested design of a form to conform to the requirements of this Manual. A "print ready" reproduction of the form is not required if the requesting Department/Unit does not readily have the capability to make such;
2. Along with the design, the Department/Unit must send a letter which includes the following:

- Purpose and use of the form,
Areas of use,
Estimated number of copies to be used (daily, weekly, monthly, or annually), and
Brief justification for approval of the form; and
3. The Department/Unit Head must forward to the Vice President for Fiscal Affairs the letter and the suggested design of the form. His or her Office may forward the form to the Public Relations Department, the Word Processing Center or any other source of assistance to obtain suggestions or other design assistance.

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If the request is approved, the form (as modified) will be returned to the requesting Department/Unit

with approval of method of reproduction (Print shop using a Request for Purchase, Word Processing

Center, office reproduction or other). When the form has been reproduced in final approval form, the

Department/Unit must provide a copy to the Office for the Vice President for Fiscal Affairs so that it

can be placed in Forms Management files.

1504.02 APPROVAL TO REUSE EXISTING FORMS

Approval of a Revision to an existing form will follow the same procedure as for a new form (Section

1504.01) except that the letter accompanying the requested revised form will address the need for

and justification of the revision, not of the form.

1504.03 BIENNIAL REVIEW OF FORMS

Every two years, the responsible using Department/Unit (Section 1503.0401) must review each of

its forms to determine its compliance with provisions of this Manual, justify continued use of the

form and forward to the Office of the Vice President for Fiscal Affairs a list of forms and the findings

of the Department's/Unit's review and justification. The Vice President for Fiscal Affairs or his or her

designee for Forms Management will establish the biennial review date and notify the

Department/Unit of that date. The Vice President for fiscal Affairs or his or her designee will decide

whether the Department must furnish the listing only or details of the review and justification.

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9800 EXHIBITS

EXHIBIT NO. EXHIBIT

103.04-1 ORGANIZATIONAL CHART, EXTERNAL-INTERNAL

103.04-2 ORGANIZATIONAL CHART, PRESIDENT'S

103.04-3 ORGANIZATIONAL CHART, FISCAL AFFAIRS

103.04-4 ORGANIZATIONAL CHART, FINANCIAL OPERATIONS

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